Page 1 of 10

#### PRELIMINARY INFORMATION - ANSWER EACH OF THESE QUESTIONS IPO AND EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION - ANSWER <u>EACH</u> OF THESE QUESTIONS E. Did you hold any reportable positions during the reporting period or in the current calendar year up through the date of filing? D. Did you, your spouse, or your dependent child have any reportable liability (more than \$10,000) at any point during the reporting period? C. Did you or your spouse have "earned" income (e.g., salaries, honoraria, or pension/IRA distributions) of \$200 or more during the Name: 2018 FINANCIAL DISCLOSURE STATEMENT UNITED STATES HOUSE OF REPRESENTATIVES **EXEMPTION** — Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or your dependent child because they meet all three tests for exemption? Do not answer "yes" unless you have first consulted with the Committee on Ethics. exchange any securities or reportable real estate in a transaction TRUSTS — Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust that benefits you, your spouse, or dependent child? IPO – Did you purchase any shares that were allocated as a part of an Initial Public Offering during the reporting period? If you answered "yes" to this question, please contact the Committee on Ethics for further guidance. reporting period? exceeding \$1,000 during the reporting period? B. Did you, your spouse, or your dependent child purchase, sell, or A. Did you, your spouse, or your dependent child: REPORT TYPE FILER STATUS b. Receive more than \$200 in unearned income from any reportable a. Own any reportable asset that was worth more than \$1,000 at the end of the reporting period? or asset during the reporting period? Charles J. Fleischmann × × House of Representatives Member of the U.S. 2018 Annual (Due: May 15, 2019) State: District: 03 Z Yes Yes Yes Yes Yes × X Daytime Telephone: Amendment S Š Z o 증 Ö For Use by Members, Officers, and Employees × × × I. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article during the reporting period? ATTACH THE CORRESPONDING SCHEDULE IF YOU ANSWER "YES" H. Did you, your spouse, or your dependent child receive any G. Did you, your spouse, or your dependent child receive any reportable gift(s) totaling more than \$350 in value from a single source during the reporting period? F. Did you have any reportable agreement or arrangement with an outside entity during the reporting period or in the current calendar year up through the date of filing? reportable travel or reimbursements for travel totaling more than \$390 in value from a single source during the reporting period? Form Employee Officer or **Employing Office** Termination Date of Termination: individual who files more than 30 days late. A \$200 penalty shall be assessed against any U.S. HOUSE OF REPIER BUILDING PEUR PAUN BAUVIANT 2019 NAY 20 Shared Staff Filer Type: (If Applicable) (Office Use Only) Yes Yes Yes Yes Yes Yes Yes Principal Assistant No. S O 20 S 0

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# SCHEDULE A - ASSETS & "UNEARNED INCOME"

Name: Charles J. Fleischmann
Page 2 of 10

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TFirst	First TN	SI	C	P	Be		Examples.	$\top$	For bank and other cash accounts, total the amount in all interest-bearing accounts. If the total is over \$5,000, list every financial institution where there is more than \$1,000 in interest-bearing accounts.  For rental and other real property held for investment, provide a complete address or description, e.g., "rental property," and a city and state.  For an ownership interest in a privately-held business that is not publicly traded, state the name of the business, the nature of its activities, and its geographic location in Block A.  Exclude: Your personal residence, including second homes and vacation homes (unless there was rental income during the reporting period); and any financial interest in, or income denved from, a federal retirement program, including the Thrift Savings Plan.  If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent hald (ICL), or jointly held with anyone (JT), in the optional column on the farlet.  For a detailed discussion of Schedule A requirements, please refer to the instruction booklet.	the account that exceeds the reporting thresholds.	Identity (a) each asset held for Investment or production of income and with a fair market value acceeding 51,000 at the end of the reporting period, and (b) any other reportable asset or source of income that generated more than \$200 in "unearned" income during the year.  Provide complete names of stocks and mutual funds (do not use only ticker symbols).	Ass
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SCHEDULE B - TRANSACTIONS Name: Charles J. Fleischmann Page 4 of 10

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											Benjam	Ехатрів		ital gains" bu	ile of your p	d for investmapital loss.	rchase, sale d of any sec
											Benjamin Edwards - Att 1,2,3,4, & 5	Mega Corp. Stock	Asset	check the "capital gains" box, unless it was an asset in a tax-deferred account, and disclose the capital gain income on Schedule A.  *Column K is for assets solely held by your spouse or dependent child.	purchase or sale of your personal residence, unless it generated rental income, it is only a portion of an asset is sold, please choose "partial sale" as the type of transaction.  Capital Caine: If a sales transaction resulted in a capital cain in average of \$200.	dependent child for investment or the production of Income. Include transactions that resulted in a capital loss. Provide a brief description of an exchange transaction. Exclude transaction, exclude transactions that transactions that the provider of the product of the product of the provider of the product of the produ	s, or exchange transactions that exceeded \$1,000 in the curity or real property held by you, your spouse, or your
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# SCHEDULE C - EARNED INCOME

Name: Charles J. Fleischmann Page 5 of 10

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. government) totaling \$200 or more during the reporting period. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding \$1,000. See examples below.

INCOME LIMITS and PROHIBITED INCOME: The 2018 limit on outside earned income for Members and employees compensated at or above the "senior staff" rate was \$28,050. The 2019 limit is \$28,440. In addition, certain types of income (notably honoraria, director's fees, and payments for professional services involving a fiduciary relationship) are totally prohibited. EXCLUDE: Military pay (such as National Guard or Reserve pay), federal retirement programs, and benefits received under the Social Security Act.

							Examples:		
						Onlario County Board of Education	State of Maryland Civil War Roundtable (Oct. 2)	Keene State	Source (include date of receipt for honoraria)
						Spouse Salary	Legislative Pension Spouse Speech	Annoused Teaching Fee	Туре
						N/A	\$18,000 \$1,000	\$6,000	Amount

### SCHEDULE D - LIABILITIES

Name: Charles J. Fleischmann	
Page 6 of10	

Report liabilities of over \$10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or your dependent child. Mark the highest amount owed during the reporting period. Members: Members are required to report all liabilities secured by real property including mortgages on their personal residence. Exclude: Any mortgage on your personal residence (unless you rent it out or are a Member); loans secured by automobiles, household furniture, or appliances; liabilities of a business in which you own an interest (unless you are personally liable); and liabilities owed to you by a spouse or the child, parent, or sibling of you or your spouse. Report a revolving charge account (i.e., credit card) only if the balance at the close of the reporting period exceeded \$10,000. \*Column K is for liabilities held solely by your spouse or dependent child.

			SP. DC. JT			@ 10,000.
		Example				
		First Bank of Wilmington, DE	Creditor			The second secon
		5/16	Date Liability Incurred MO/YR			of the state of the state of
		Mongage on Rental Property, Dover, DE	Type of Liability			
		12.	\$10,001- \$15,000	>		
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### **SCHEDULE E - POSITIONS**

Report all positions, compensated or uncompensated, held during the current or prior calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, nonprofit organization, labor organization, or educational or other institution other than the United States. Exclude:

Positions held in any religious, social, fraternal, or political	Positions held in any religious, social, fraternal, or political entities (such as political parties and campaign organizations); and positions solely of an honorary nature.
Position	Name of Organization

## SCHEDULE F - AGREEMENTS

Name: Charles J. Fleischmann
Page 7 of 10

			Date
			Parties to Agreement
			Terms of Agreement

#### SCHEDULE G - GIFTS

Report the source (by name), a brief description, and the value of all gifts totaling more than \$390 received by you, your spouse, or your dependent child from any source during the year. Exclude: Gifts from relatives, gifts of personal hospitality from an individual (which may not include a registered lobbyist or foreign agent), local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of \$156 or less need not be added towards the \$390 disclosure threshold. Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule and some gifts require prior approval of the Committee on Ethics.

	Source	Description	Value
Example:	Mr. Jaseph Smith, Arlington, VA	Silver Platter (prior determination of personal friendship received from the Committee on Ethucs)	\$400

# SCHEDULE H - TRAVEL PAYMENTS and REIMBURSEMENTS

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Name: Charles J. Fleischmann
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Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totaling more than \$390 received by you, your spouse, or your dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense. Disclosure is required regardless of whether the expenses were paid directly by the sponsor or were paid by you and reimbursed by the sponsor.

**EXCLUDE:** Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (FGDA, 5 U.S.C.) § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to the filer.

		Examples. Habitat								
Source	Government of China (MECEA)	Habital for Humanity (charity fundraiser)						10 (10 (10 (10 (10 (10 (10 (10 (10 (10 (		
Date(s)	Aug. 6-11	Mar. 3-4								
City of Departure-Destination-City of Return	DC-Beijing, China-DC	DC-Bostov-DC								
Lodging? (Y/N)	٧	Υ								
Food? (Y/N)	٧	Υ								
Family Member Included? (Y/N)	=	¥								

# SCHEDULE I – PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA

Name:Char	
Name: Charles J. Fleischmann	
 Page 9 of 10	

ist the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of paying an honorarium to you. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Ethics.	an event to a charitable organization	in lieu of paying an honorar	ium to you. A separate
Source	Activity	Date	Amount
Association of American Associations, Washington, DC  XYZ Magazine	Speech Article	Feb, 2, 2018 Aug. 13, 2018	\$2,000 \$500

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							NOTE NUMBER
							NOTES

#### Attachment 1

#### **ATTACHMENT 1**

Charles J. Fleischmann December 31, 2018

Summary of Brokerage Accounts Held Through Benjamin Edwards & Co.

Totals	*****1695	*****5005	*****9133	*****3890	Account #			
1145	1							
\$ 1,199,081.22 \$ 21,150.79 \$ 27,795.46 \$ 2,780.18 \$ 61,889.46	228,361.97	98,970.13	8,573.90	863,175.22	Value			
\$ 21,150.79	6,560.97	2,151.83	14.61	12,423.38	Interest	Dividends and		
\$ 27,795.46	6,396.47	,	•	21,398.99	Distributions	Capital Gain		
\$ 2,780.18	1	7,038.40	(3,124.63)	(1,133.59)	Sale	Investment	on	Gain/(Loss)
\$ 61,889.46	12,957.44	9,190.23	7,053.01	32,688.78	Total Income			
\$ 252,348.16	i	88,082.76		164,265.40	Sales **	Investment	Proceeds from	
	Details on Attachment 5	88,082.76 Details on Attachment 4	Details on Attachment 3	164,265.40 Details on Attachment 2				

<sup>\*\*</sup> Gross sales proceeds from transactions reported on Schedule IV

#### Attachment 2



**OOLTEWAH TN 37363-7118** 8714 RAMBLING ROSE DR SEP FBO CHARLES J FLEISCHMANN PERSHING LLC AS CUSTODIAN

Your Financial Advisor Is: WARD PETTY

Portfolio at a Glance

Account Number: EPP-003890 December 1, 2018 - December 31, 2018

Estimated Annual Income	ENDING/ACCOUNT VALUE	Net Change in Portfolio <sup>1</sup>	Other Transactions	Fees	Dividends, Interest and Other Income	BEGINNING ACCOUNT VALUE	
\$12,130.27	\$863,175,22	-101.293.47	0,00	0.00	24,173.86	\$940,294.83	This Period
	\$863,175.22	-79,077,49	-34.24	-10,605.96	33,822 37	\$919,070.54	Year-to-Date

beginning account value after activity. 1 Net Change in Portfolio is the difference between the ending account value and

The Bank Deposits in your account are FDIC insured bank deposits.
FDIC insured bank deposits are not securities and are not covered by the Securities Investor Protection Corporation (SIPC). These bank deposits are covered by the Federal Deposit Insurance Corporation (FDIC), up to allowable limits.

#### Asset Summary



Percent	Asset Type	Prior Year-End	Last Period	This Period
1%	1% Cash, Money Funds, and Bank Deposits	5,257.33	592.56	
41%	Equities	352,198.00	384,679.00	357,469.25
58%	Mutual Funds	555,690.21	555,023.27	500,058.49
0%	Exchange-Traded Products	5,925.00	0.00	
100%	Account Total (Pie Chart)	\$919,070.54	\$940,294.83	\$863,175.22
	Please review your allocation periodically with your Financial Advisor.			







#### Additional Information

Securities Bought and Sold	Description
-\$19,118.94	This Period
-\$22,792.02	Year-to-Date

### Summary of Gains and Losses

106,947	-1,133.59	-1,536.49	Net Gain/Loss
118,308.47	5,507.84	0,00	Long-Term Gain/Loss
-11,361.18	-6,641.43	-1,536,49	Short-Term Gain/Loss
Unrealized	Realized This Period Realized Year-to-Date	Realized This Period	

This summary excludes transactions where cost basis information is not available.

#### For Your Information

### Electronic Delivery of Tax Documents

but not tax documents, simply click the "Go Paperless" icon when you log in. GO PAPERLESS!! Electronic delivery of account communications can make managing your financial information easier-and tax documents are no exception. With anywhere, anytime access and the ability to download, then e- mail tax documents to your accountant, e-delivery is the convenient way to approach tax season! Enroll today- and if you're enrolled for account statements,

prospectus, by clicking on the Go Paperless button when you log in. If you do not have on-line access, please contact your financial advisor and the process can be expedited for you. If you currently have online access to your accounts through NetXInvestor, you can sign up for e-delivery of your statements and confirms, as well as Mutual Fund, ETF and UIT

This convenient e-delivery service is available even it you don't desire access to daily positions, values, balances and quotes. Contact your financial advisor and we can set up e-delivery

Make the move to paperless today!

#### Client Service Information

1101 BROAD STREET, SUITE 105 CHATTANOOGA TN 37402-2943	WARD PETTY	TOUT FIRENCIAL AQVISOT IS, USV
Fax Number: (423) 668-5412	Telephone Number: (423) 668-5411	Contact Information

#### Your Account Information

INVESTMENT OBJECTIVE

Investment Objective: MODERATE GROWTH

Please review your investment objective. If you wish to make a change or have any questions please contact your Financial Advisor.

RETIREMENT INFORMATION

Year-End Fair Market Value (12/31/2018): \$863,175.22

valuation adjustments made after 12/31/2018. The year-end fair market value is furnished to the Internal Revenue Service for Individual Retirement Accounts. Your fair market value may change based on transaction or asset

(Illin





Page 2 of 24



## Your Account Information (continued)

TAX LOT DEFAULT DISPOSITION METHOD

Default Method for Mutual Funds:

Default Method for all Other Securities: Default Method for Stocks in a Dividend Reinvestment Plan:

BOND AMORTIZATION ELECTIONS

Amortize premium on taxable bonds based on Constant Yield Method: Yes

Accrual market discount method for all other bond types: First In First Out First In First Out First In First Out Constant Yield Method

**ELECTRONIC DELIVERY** 

nclude market discount in income annually

more information. You have not selected any account communications for electronic delivery. To register and turn off paper communications, log in to your account or contact your Financial Advisor for

## Client Account Beneficiary Information

Beneficiary Name	Primary /Contingent	Relationship to Account Holder(s)	Allocation Percent
BRENDA FLEISCHMANN	PRIMARY	SPOUSE	
Distriction and Other Information			

Disclosures and Other Information:

agreement will control. Please contact your Financial Advisor to update your beneficiary information if necessary or to review more detailed information concerning your designations. you executed to designate any beneficiaries displayed controls distribution to such parties. If differences exist between information here, and the signed beneficiary agreement, the The beneficiary information displayed is a summary of information you have provided and should accurately reflect the most recent beneficiary information received. An agreement

~			12/05/18				Activity Er		Sweep FD	Date Activity T
Deposit	Deposit	Deposit	Deposit	Deposit	Depasit	Opening Balance	Activity Ending: 12/31/18	NOT DEDOCIT DEOCRAM E	d Ba	γþ
DEPOSIT	DEPOSIT	DEPOSIT	DEPOSIT	DEPOSIT	DEPOSIT					Description
44.00	49.00	132.00	37.50	271.12	36.00	556.56				Amount
1,126.18	1,082.18	1,033.18	901.18	863.68	592.56	556,56				Balance







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# FDIC Insured Bank Deposits (continued)

Date	Activity Type	Description	Amount	Balance
Sweep FD	Sweep FDIC Insured Bank Deposits (continued)		***************************************	
INSURED	INSURED DEPOSIT PROGRAM F (continued)			
12/14/18	Deposit	DEPOSIT	3,223.30 4,	4.349 48
12/14/18	Deposit	INTEREST CREDITED		4,351.11
		APY 1.15%		
12/17/18	Deposit		2,220.43 6	6,571.54
		Citibank N.A.		
		A/O12/17 \$6571.54		
12/18/18	Deposit	DEPOSIT		247.26
12/19/18	Deposit	DEPOSIT		421.31
12/20/18	Deposit	DEPOSIT		819.96
12/24/18	Deposit	DEPOSIT		566.81
12/26/18	Deposit	DEPOSIT		830.22
12/28/18	Withdrawal	WITHDRAWAL	<i>-</i> 7,807.43 5,	022.79
12/31/18 Total FDIC	12/31/18 Closing Balance Total FDIC Insured Bank Deposits	er er en er	-	\$5,022.79 \$5,022.79

The FDIC Insured Bank Deposits are not securities and are not covered by the Securities Investor Protection Corporation (SIPC). The Bank Deposits at each bank are insured by the Federal Deposit Insurance Corporation (FDIC) up to \$250,000 for each category of legal ownership including individual retirement accounts and certain other self directed retirement accounts. Please review this in connection with other deposits you may have at each respective bank.

TOTAL CASH	Total FDIC In	DEUTSCHE BANK INS DEPOSIT	INSURED DEPOSIT PROGRAM F 12/01/18	FDIC Insured	CASH, MONE Cash Balance	Opening Date
TOTAL CASH, MONEY FUNDS, AND BANK DEPOSITS	Total FDIC Insured Bank Deposits	INS DEPOSIT E	T PROGRAM F 5,022.790	FDIC Insured Bank Deposits	CASH, MONEY FUNDS, AND BANK DEPOSITS 1.00% of Portfolio Cash Balance	Quantity
ID BANK DEPOSITS		N/A	io N/A		CDEPOSITS 1.00%	Account ty Number
0,		12/31/18	12/31/18		of Portfolio	Activity Ending
\$592.56	\$556.56	0.00	556.56		36.00	Opening Balance
\$5,647.48	\$5,022.79	0.00	5,022.79		624.69	Closing Balance
\$4.01	\$4.01	0.00	4.01			Accrued Income
\$23.70	\$23.70	22.07	1.63			Income This Year
		N/A	N/A			30-Day Yield
		N/A	N/A			Current Yield





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EXCELLENCE



Ulvidend Option: Cash 02/11/14 *	CH ROBINSON WORLDWIDE INC COM	Dividend Option: Cash 12/26/18 *	BAIDU COM INC SPONS ADR REPSTG ORD SHS CL A	ASTEC INDS INC COM Dividend Option: Cash 11/07/18	APPLE INC COM Dividend Option: Cash 01/29/16		AMGEN INC COM Dividend Option: Cash Multiple * Y	AMERICAN EXPRESS COMPANY Dividend Option: Cash 03/31/16	ALPHABET INC CAP STK CL C Dividend Option: Cash 12/19/14	Common Stocks ABBOTT LABS COM Dividend Option: Cash 11/26/13	Date Acquired
300.000	INC COM	50.000	REPSTG ORD SHS	100.000	100.000	100.000	Total Noncovered	NY 150.000	50.000	500.000	Quantity
52.8400		156,5490		37.2700	95.7770		170.4910	60,9680	507.8550	38.1700	Unit Cost
15,852.00	Securit	7,827.43	Secur	Secur 3,727.00	Securi 9,577.65		Securit 17,049.08	Secu 9,145.22	Securit ( 25.392.77	Secu ( 19.085.00	Cost Basis
84.0900	Security Identifier: CHRW CUSIP: 12541W209	158.6000	Security Identifier: BIDU CUSIP: 056752108	Security Identifier: ASTE CUSIP; 046224101	Security Identifier: AAPL CUSIP: 037833100 5 157.7400		Security Identifier: AMGN CUSIP: 03162100 08 194.6700	Security Identifier: AXP CUSIP: 0258:6109 95.3200	Security Identifier: GDOG CUSIP: 02079Kt07 77 1,035.6100	Security Identifier: ABT CUSIP: 002824100 72:3300	Market Price
25,227.00		7,930.00		3,019.00	15,774.00		19,467.00	14,298.00	51,780.50	36,165.00	Market Value
9,375.00		102.57		-708.00	6,196.35		2,417.92	5,152.78	26,387.73	17.080.00	Unrealized Gain/Loss
600.00				44,00	292.00		580,00	234,00		560.00	Estimated Estimated Annual Income Yield
2.37%				1.45%	1.85%		2.97%	1.63%		1.54%	stimated Yield

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Data Acquired	Organity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Estimated Annual Income Yield
EQUITIES (continued)			a a si sila badanananindanananinananananana	THE METERS AND THE PROPERTY OF THE PROPERTY AND A STREET,	gypy pypanys an the same papagany is the papagan a seed to seed the seed papagany	ALVIE II IN ALVIE WAR WAR WAR IN ALVIE	
Common Stocks (continued)							
CISCO SYSTEMS INC			Securit	Security Identifier CSCO			
Dividend Ontion: Oach			الرسن،	CLISIP: 17275R102			
Divide in Optibil: Casi		) ) )		COOK. IZZI OKROZ			
01/30/13	400.000	20.6150	8,245.80	43.3300	17,332.00	9,086.20	528.00 3.04%
EDITAS MEDICINE INC COM			Securi	Security Identifier: EDIT			
IDII. Casii	in a second	26 6000	3 886 00	22 7500	2 275 00	-81A 00	
in the second se	100.000	6	,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,		1		
ELECTRONIC ARTS INC COM			Seci	Security Identifier: EA			
Dividend Option: Cash				CUSIP: 285512109			
11/07/18	50,000	93.0000	4,650.00	78.9100	3,945.50	-704.50	
EMERSON ELEC CO COM			Securi	Security Identifier: EMR			
07/30/15 *	100.000	51.7550	5,175.50	59.7500	5,975.00	799.50	196.00 3.28%
FACEBOOK INC CL A			Sec	Security Identifier: FB			
Dividend Option: Cash 11/07/18	50,000	151.5700	7.578.50	131,0900	6.554.50	-1.024.00	
GOLDMAN SACHS GROUP INC COM				Security Identifier: GS			
Dividend Option: Cash			_ ;	CUSIP: 38141G104			
XSecurity Disposition Method: Versus Purchase	s Purchase 25 000	201 2690	5 031 73	167,0500	4 176.25	-855.48	80.00 1.91%
HD SUPPLY HLDGS INC COM				Security identifier: HDS			
Dividend Option: Cash				CUSIP: 404/6M105			
08/30/17	100,000	32.2700	3,227.00	37.5200	3,752.00	525.00	
METLIFE INC COM			Securi	Security Identifier: MET			
	Total Noncovered	35,1620	7,032.35	41.0600	8,212.00	1,179.65	336.00 4.09%
	200.000						
NOVO NORDISK A.S. ADR FORMERLY NOVO INDUSTRIE A.S. ADR SAME CUSIP	OVO		Securi	Security Identifier: NVO CUSIP: 670100205			
Dividend Option: Cash							
12/21/16	100.000	35.6300	3,563.00	46.0700	4,607.00	1,044.00	90.58 1.96%
NVIDIA CORP COM			Security	Security Identifier: NVDA			
Dividend Option: Cash	25,000	161.7500	4.043.75	CUSIP: 67086G104 133,5000	3,337.50	-706.25	16.00 0.47%
							Page 6 of 24

Account Number: EPP-003890 B00/5003CSF300'3









Date Acquired	Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Uhrealized Gain/Loss	Estimated Estimated Annual Income Yield	stimated Yield
EQUITIES (continued) Common Stocks (continued)								
ORACLE CORP COM Dividend Option: Cash			Security C	Security Identifier: ORCL CUSIP: 68389X105				
DAYDAL HITTOS INC COM	300.000	36,1700	10.851.00	45.1500	13,545.00	2.694.00	228.00	1.68%
PAYPAL HLDGS INC COM Dividend Option: Cash 09/18/15 *	250.000	32.9000	Securit CI 8.225.00	Security Identifier: PYPL CUSIP: 70450Yi03 34.0900	21,022.50	12,797.50		
PHILIP MORRIS INTL INC COM Dividend Option: Cash 01/27/14	200.000	81.8600	Secur 16,372.00	Security Identifier: PM CUSIP: 718172109 66.7600	13,352.00	-3,020.00	912.00	6.83%
SHIRE PLC SPONS ADR ISIN#US8248IR1068 Dividend Option: Cash			Security C	Security Identifier: SHPG CUSIP: 8248:Ri06				
02/21/18 * STARBUCKS CORP COM	50.000	125.5450	6,277.27 Security	7 174.0400 Security Identifier: SBUX	8,702.00	2,424.73	53.08	0.61%
06/20/18	100.000	54.8600	5,486.00	64.4000	6,440.00	954.00	144.00	2.23%
TENCENT HLDGS LTD ADR ISIN#US88032Q:094 Dividend Option: Cash			Security Cl	Security Identifier: TCEHY CUSIP: 88032Q109				
THE TRADE DESK INC COM CL A Dividend Option: Cash	190,000	30.2100	o,/or.ou Securi	Security Identifier: TTD CUSIP: 88339J105	0,820.00	08:00	13.24	67.23
08/22/17 VERIZON COMMUNICATIONS INC COM	100.000	50.0300	5,003.00 Secu C	116.0600 Security Identifier: VZ CUSIP: 92343Vi04	11,606.00	6,603.00		
03/10/17	200.000	49.1980	9,839.60	56.2200	11,244.00	1,404.40	482.00	4.28%

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(11111-

FMI INTERNATIONAL FUND INVESTOR CLASS Open End Fund Dividend Option: Cash; Capital Gains Option: Reinvest Multiple **Y  1,307.197	DODGE & COX STOCK FUND  Open End Fund  Dividend Option: Cash; Capital Gains Option: Reinvest  Multiple TY  180,990	DODGE & COX INTERNATIONAL FUND Open End Fund Dividend Option: Cash; Capital Gains Option: Cash 03/19/15 * 581.116	MUTUAL FUNDS 58.00% of Portfolio ALGER SPECTRA FUND CLASS A Open End Fund Dividend Option: Cash; Capital Gains Option: Cash Multiple * Y Total Noncovered 1,399.029	TOTAL EQUITIES  Date Acquired	Dividend Option: Cash 12/26/17 Total Common Stocks	WALGREENS BOOTS ALLIANCE INC COM Dividend Option: Cash 11/07/17 10	EQUITIES (continued) Common Stocks (continued) VISA INC COM CL A Dividend Option: Cash 08/08/16	Date Acquired
IVESTOR CLASS I Gains Option: Reinvest Total Noncovered 1,307.197	Gains Option: Reinvest Total Noncovered	JND Is Option: Cash 581.116	00% of Portfolio A Gains Option: Cash Total Noncovered 1,399.029	Quantity	50.000	100.000	150,000	Quantity
29.1210	180.6760	43.8200	15.2440	Unit Cost	120.1100	65.7600	79.9770	Unit Cost
Securi ( 38,066.46	Security 32,700.54	Security 25,464.50	Securit 21,326.24	\$251,456.13 Cost Basis	6,005,50 \$251,456,13	Secur 6,576.00	\$, 11,996.48	Cost Basis
Security Identifier: FMIJX CUSIP: 302933304 6 28.6300	Security Identifier: DODGX CUSIP: 2562:9106 .54 172.8100	Security Identifier: DODFX CUSIP: 256206103	Security Identifier: SPECX CUSIP: 015566102 24 18.2200	Market Price	CUSIP: 98956P102 103.7200	Security Identifier: WBA CUSIP: 93/427/08 0 68.3300	Security Identifier: V CUSIP: 92826C339 131,9400	Market Price
37,425.05	31,276.88	21,448.99	25,490.31	\$357,469.25 Market Value	5,186.00 \$357,469.25	6,833.00	19,791.00	Market Value
-641.41	-1,423.66	4,015.51	4,164.07	\$106,013.12 Unrealized Gain/Loss	.819.50 \$106,013.12	257.00	7,794.52	Unrealized Gain/Loss
1,722.47 4.60%	524.87 1.67%	627.60 2.92%		S5,764.90 Estimated Estimated Annual Income Vield	48.00 0.92% \$5,764.90	176.00 2.57%	150.00 0.75%	Estimated Estimated Annual Income Yield









T ROWE PRICE HEALTH SCIENCES FUND Security Identifier: PRHSX	PARNASSUS MID-CAP FUND Security Identifier: PARMX Open End Fund CUSIP: 701765885  Dividend Option: Cash; Capital Gains Option: Reinvest Multiple TY Total Noncovered 28.3260 61.118.24 28.8600 62.270.30 1,152.06	NEW WORLD FUND CLASS F-2  Security Identifier: NFFX  Open End Fund  CUSIP; 649280823  Dividend Option: Cash; Capital Gains Option: Reinvest  Multiple 'Y  Total Noncovered 57.0700  19,452.83  57.1600  19,483.50  30.67	FIRST EAGLE CLOBAL FUND CLASS A  Security Identifier: SCENX  Open End Fund  CUSIP: 32008F507  Dividend Option: Cash; Capital Gains Option: Cash  Multiple 'Y  Total Noncovered 47.2290 43,777.19 50.8900 47,170.40 3,393.21  926.909	FIDELITY INTERNATIONAL  FIDELITY INTERNATIONAL  GROWTH FUND  Open End Fund  Dividend Option: Reinvest; Capital Gains Option: Reinvest  Multiple 'Y  1,828.724  Security Identifier: FIGFX  CUSIP: 315910315  CUSIP: 315910315  21,962.98  -3,229.19	Date Acquired Quantity Unit Cost Cost Basis Market Price Market Value Gain/Loss
-1,129.46	1,152.06	30.67	3,393.21	-3,229.19	
	474.68 0.76%	266.79 1.36%	398.57 0.84%	193.84 0.88%	Estimated Estimated Annual Income Yield

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I O LACEPORTE OCTO HOCOTINGS		TOTAL MUTUAL FUNDS	Open End rund  Dividend Option: Reinvest; Capital Gains Option: Reinvest  Multiple "Y Total Noncovered ( 1,063,083	VANGUARD SMALL-CAP INDEX FUND ADMIRAL SHARES	Dividend Option: Cash, Capital Gains Option: Reinvest Multiple 'Y Total Noncovered 818.346	VANGUARD INTERNATIONAL GROWTH FUND Oben End Fund	Dividend Option: Cash; Capital Gams Option: Reinvest Multiple 'Y Total Noncovered 701.613	T ROWE PRICE REAL ESTATE Open End Fund	Multiple : Y Total Noncovered 230,755	T ROWE PRICE BLUE CHIP GROWTH  Open End Fund  Open Cash: Capital Gains Option: Be	Multiple ''Y Total Noncovered 1,439.172	PRIMECAP ODYSSEY GROWTH FUND Open End Fund Open Code Code Code Code Code Code Code Code	MUTUAL FUNDS (continued) I ROWE PRICE GLOBAL TECHNOLOGY (continued) Multiple *Y  Z,243.355	Date Acquired Quantity
		HANTANIAN HANTAN AND POPULAR AND HANTANIAN AND AND AND AND AND AND AND AND AND A	r: Reinvest sd 59.2180	F	invest 30.2220 6		anvest ad 28.0130 3		107.1600	sinvaet	26.5250 2		inued) 9d 14.0970	ty Unit Cost
\$100,221.50	Cost Basis	\$499,124.32	62,953.61	Secun	24,732.08	Securi	19,654.54	Secui	24,727.80	Secur	38,174.73	Secur	31,624.33	Cost Basis
		ade comme i ambi ad ambi i malambo comparaba cultiva cultura alpina a diper	63.2300	Security Identifier, VSMAX CUSIP: 922908686	24.9100	Security Identifier: VWIGX CUSIP: 921910204	24.7800	Security Identifier: TRREX CUSIP: 7799:9109	96.0300	Security Identifier: TRBCX CUSIP: 77954Q106	34.7300	Security Identifier: POGRX CUSIP: 74160Q103	12.2000	Market Price
\$600,170.22	Market Value	\$500,058.49	67,218.74		20,385.00		17,385.97		22,159.40		49,982.44		27,368.93	Market Value
\$100,347.23	Unrealized Gain/Loss	\$934,17	4,265.13		4,347.08		-2,268.57		-2,568.40		11,807.71		4,255.40	Gain/Loss
60.00	Accrued Interest	Additions to the date time of the first beams												
€ IV, 100.	Estimated Annual Income	\$6,341.67	1,120.17		329.87		505.16				177.65			Annual Income Yield
ŗ	me de	:	1.66%		1.61%		2.90%				0.35%			

Noncovered under the cost basis rules as defined below.









subject to the cost basis reporting rules and may be reported to the IRS on form 1099-B for the applicable tax year in which the securities are disposed 1986, as amended by the Emergency Economic Stabilization Act of 2008, and are marked as "noncovered". Securities marked as "covered", were identified as securities potentially Generally, securities acquired before 2011, in retirement accounts or held by Non-U.S. entities are not subject to the cost basis reporting rules set forth in the Internal Revenue Code of

basis will not be reported to the IRS Note: In the event where we cannot easily determine the taxability of an account, we may mark the account as noncovered. However, if the account does not receive a 1099B, the cost

- You have selected a disposition method for this security that differs from the default disposition method indicated in the Your Account Information Section. If you choose to sell or transfer a portion of these shares, the disposition method noted here will be used.
- This line is an aggregation of shares in this position, representing shares acquired at different times and/or dates. This summary is a sum of these shares and does not represent cost basis calculated using the average cost accounting method

### Portfolio Holdings Disclosures

THE AS OF PRICE DATE ONLY APPEARS WHEN THE PRICE DATE DOES NOT EQUAL THE STATEMENT DATE. from the actual sale price. Securities for which a price is not available are marked " $\mathsf{N/A}$ " and are omitted from the Total. prices, unless otherwise noted, have been obtained from independent vendor services, which we believe to be reliable. Market prices do not constitute a bid or an offer, and may differ This section includes the net market value of the securities in your account on a settlement date basis, including short positions, at the close of the statement period. The market

#### Estimated Annual Figures

Accrued interest represents interest earned but not yet received. may be included in the figures for certain securities, thereby overstating them. Refer to www.pershing.com/disclosures for specific details as to formulas used to calculate the figures investment, trading, or tax decisions. These figures assume that the position quantities, interest and dividend rates, and prices remain constant. A capital gain or return of principal and dividend rates are subject to change at any time, and may be affected by current and future economic, political, and business conditions, they should not be relied on for making guarantee of future results. These figures are computed using information from providers believed to be reliable; however, no assurance can be made as to the accuracy. Since interest The estimated annual income (EAI) and estimated annual yield (EAY) figures are estimates and for informational purposes only. These figures are not considered to be a forecast or

agent and receives payment for order flow. including the time of execution and the name of the person from whom your security was purchased, may be obtained. In dividend reinvestment transactions, Pershing acts as your have been reinvested. You will not receive confirmation of these reinvestments. Upon written request to your financial institution, information pertaining to these transactions, The dollar amount of Mutual Fund distributions, Money Market Fund dividend income, Bank Deposit interest income, or dividends for other securities shown on your statement may

current background and financial information concerning your option accounts, please promptly advise them in writing of any material change in your investment objectives or to you. A summary of this information is available to you promptly upon your written request directed to your introducing firm. In order to assist your introducing firm in maintaining Information with respect to commissions and other charges incurred in connection with the execution of option transactions has been included in confirmations previously furnished

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# Portfolio Holdings Disclosures (continued)

#### Option Disclosure (continued)

information regarding this procedure is available upon written request to your introducing firm. financial situation. Expiring options which are valuable are exercised automatically pursuant to the exercise by exception procedure of the Options Clearing Corporation. Additional

#### Foreign Currency Transactions

organization may also increase the currency conversion rate. This conversion rate may differ from rates in effect on the date you executed a transaction, incurred a charge, or Pershing will execute foreign currency transactions as principal for your account. Pershing may automatically convert foreign currency to or from U.S. dollars for dividends and similar corporate action transactions unless you instruct your financial organization otherwise. Pershing's currency conversion rate will not exceed the highest interbank conversion rate identified from customary banking sources on the conversion date or the prior business day, increased by up to 1%, unless a particular rate is required by applicable law. Your financial received a credit. Transactions converted by agents (such as depositories) will be billed at the rates such agents use

the number of shares in your margin account. Securities not fully paid for in your margin account may be lent by Pershing to itself or others in accordance with the terms outlined in the Margin Agreement. The right to vote your shares held on margin may be reduced by the amount of shares on loan. The Proxy Voting Instruction Form sent to you may reflect a smaller number of shares entitled to vote than

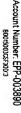
# Important Message Regarding Your Portfolio Holdings HARD TO VALUE POSITIONS

expect that the fair market value for hard-to value assets reflects the amount you would actually receive in the event of a sale. because there are multiple ways that "value" may be ascertained by issuers and valuation services, and because the value shown is only a point-in-time assessment, you should not Positions identified on your statements as "hard-to-value" may show a "fair market value" amount for IRS purposes. Because hard-to-value assets are not readily tradeable, and

While your tax lots have been rolled up, all of the lots are still maintained. If you would like to receive the details of your tax lots, please contact your financial advisor

Trades	rades Not Settled						
Settlement	Trade	Activity				Accrued	Settlement
Date	Date	Туре	Description	Quantity	Price	Interest	Amount
01/02/19	12/28/18	Виу	CITIGROUP INC COM NEW	100.000	52,4590	0.00	-5,245.90
			ISIN#US1729674242 SOLICITED ORDER				
			DISCRETION EXER				
01/02/19	12/28/18	Sell	GOLDMAN SACHS GROUP INC COM SOLICITED ORDER DISCRETION EXER	-25.000	164.9924	0.00	4,124.81
Total Amo	Total Amount of Trades Not Settled	s Not Se	ttled				-\$1,121.09

Page 12 of 24						
228.00	Cash	1.140000	200.000	01/11/19	12/20/18	Dividends PHILIP MORRIS INTL INC COM
Amount of Payment	Dividend Option	Rate	Quantity Held	Payable Date	Record Date	Security
		are secondaries and a second an				Cash Not Yet Received











### Cash Not Yet Received (continued)

Accept shows here are not reflected in your account. This information has been received from sources we hallows to be reliable. D	Total Cash Not Yet Received	ZIMMER BIOMET HLDGS INC COM	Dividends (continued)	Security
ant This information has h		12/28/18		Record Date
seen received from sour		01/31/19		Payable Date
res we halieve to be reliet		50,000		Quantity Held
le Perching doe		0.240000		Rate
Derehing does not quarantee the accuracy of the		Cash		Dividend Option
aracy of the	\$240.00	12.00		Amount of Payment

information. Assets shown here are not reflected in your account. This information has been received from sources we believe to be reliable. Pershing does not guarantee the accuracy of the

Schedule of Realized Gains and Losses Year-to-Date	ains and L	osses Yea	r-to-Date					The second secon
	Date	Date	CONTRACTOR OF THE PERSON OF TH					Realized
Description	Disposed	Acquired	Designation	Disposition Method / Transaction	Quantity	Proceeds	Cost Basis	Gain/Loss
Short Term								
ANHEUSER BUSCH INBEV	11/07/18	10/22/18	Noncovered	Versus Purchase / SELL	125.000	9,538,75	10,581.25	-1,042.50
NSORED ADR ISIN#US03524A1088								
Security Identifier, 03524A108								
DERMIRA INC COM	03/05/18	11/28/17	Noncovered*	Versus Purchase / SELL	50.000	454.55	1,171.98	-717.43
Security Identifier: 24983L104								
GLOBAL X FDS ROBOTIC	06/20/18	12/14/17	Noncovered*	Versus Purchase / SELL	250.000	5,680.00	5,789.98	-109.98
CIAL INTELLIGENCE ETF Security Identifier: 37954Y715								
GOLDMAN SACHS GROUP	12/28/18 <sup>u</sup>	11/14/18	Noncovered*	Versus Purchase / SELL	25,000	4,124.81	5,031.73	-906.92
Security Identifier: 38141G104								
HARBOR CAPITAL APPRE	11/30/18	12/18/17	Noncovered	First In First Out / SELL	33.305	2,479.56	2,338.00	141.56
B								
Security Identifier: 411511504								
IMPINJ INC COM	10/12/18	09/26/18	Noncovered*	Versus Purchase / SELL	100,000	2,046.81	2,489.15	-442.34
Security Identifier: 453204109								
JABIL INC COM	10/05/18	12/20/17	Noncovered*	First In First Out / SELL	100.000	2,621.00	2,697.00	-76.00
Security Identifier: 466313103	10/12/18	12/20/17	Noncovered	Versus Purchase / SELL	100.000	2,410.00	2,697.00	-287,00
Total	m yayiyin ada birlimbar sa ya bada sa	A MARAGER DES PARAMENTOS DE SES PRESENTANTOS DE SERVICIONES DE SER	на се денина выване вероване на предоставления в предоста		200.000	5,031.00	5,394.00	-363.00
MOSAIC CO NEW COM	05/07/18	08/21/17	Noncovered*	Versus Purchase / SELL	200.000	5,484.00	3,974.00	1,510.00
Security Identifier: 61945C103								





# Schedule of Realized Gains and Losses Year-to-Date (continued)

	Date	Data	I to Date (voltain					Doglitod
Description	Disposed	Acquired	Designation	Disposition Method / Transaction	Quantity	Proceeds	Cost Basis	Gain/Loss
Short Term (continued)		efterentes bette efterini à attacherin	The second section of the second section of the second section section section section second section		a co conthe se estadoundo o stato tiño de contra co	AA. tal sisi saista siistaraassassa amata		
STERICYCLE INC COM Security Identifier: 858912108	11/07/18	04/02/18	Noncovered	Versus Purchase / SELL	100,000	4,710.00	5,763.00	-1,053.00
STITCH FIX INC CL A	12/12/18	10/05/18	Noncovered*	Versus Purchase / SELL	100,000	2,220,43	2,850.00	-629.57
Security Identifier: 860897107								
TENCENT HLDGS LTD AD 803201094	09/28/18	05/29/18	Noncovered	Versus Purchase / SELL	100.000	4,103.25	5,156.00	-1,052.75
Security Identifier: 88032Q109								
VIACOM INC NEW CL B Security Identifier: 92553P201	04/03/18	09/08/17	Noncovered*	Versus Purchase / SELL	100.000	2,954.00	2,709.50	244.50
VULCAN MATLS CO COM Security Identifier: 929160109	10/22/18	04/27/18	Noncovered	First In First Out / SELL	125.000	11,655.00	13,875.00	-2,220.00
Total Short Term						60,482.16	67,123.59	-6,641.43
Long Term BRISTOL MYERS SQUIBB	04/27/18	03/06/17	Nancovered.	First In First Out / SELL	125.000	6,541.25	7,148.39	-607.14
Security Identifier: 110122108	04/30/18	03/06/17	Noncovered*	First In First Out / SELL	75.000	3,932.51	4,289.03	-356.52
	04/30/18	04/05/17	Noncovered*	First in First Out / SELL	50.000	2,621.67	2,703.40	-81.73
Total					250.000	13,095.43	14,140.82	-1,045.39
CELGENE CORP	02/21/18	04/08/15	Noncovered T	Versus Purchase / SELL	50.000	4,727.05	5,755.50	-1,028.45
Security Identifier: 151020104	03/28/18	06/21/16	Noncovered*	Versus Purchase / SELL	50.000	4.312.00	4,977.00	-665.00
Total					100.000	9,039.05	10,732.50	-1,693,45
DODGE & COX INTERNAT	08/17/18	03/05/14	Noncovered*	First In First Out / SELL	458.295	19,578.35	20,000.00	-421.65
Security Identifier: 256206103	08/17/18	03/19/15	Noncovered*	First In First Out / SELL	103.503	4,421.65	4,535.50	-113.85
Total					561.798	24,000.00	24,535.50	-535.50
DODGE & COX STOCK FU Security Identifier: 2562:9106	07/17/18	03/19/15	Noncovered *	First In First Out / SELL	120.325	25,000.00	21,746.36	3,253.64
GOODYEAR TIRE & RUBR Security Identifier: 382550101	09/26/18	08/21/17	Noncovered	Versus Purchase / SELL	100.000	2,336.38	2,971.00	-634.62
HARBOR CAPITAL APPRE	11/30/18	01/07/15	Noncovered	First In First Out / SELL	260.870	19,421.77	15,000.00	4,421.77
ND	11/30/18	12/17/15	Noncovered *	First In First Out / SELL	17.555	1,306.97	1,071.39	235.58
Security Identifier: 411511504	11/30/18	12/19/16	Noncovered	First In First Out / SELL	16.962	1,262.82	971.09	291.73
Total			,		295.387	21,991.56	17,042,48	4,949.08
MAZOR ROBOTICS LTD S DS ISIN#US57886P1030	11/05/18	06/12/17	Noncovered*	Versus Purchase / SELL	50.000	2,902.50	1,575.00	1,327.50











# Schedule of Realized Gains and Losses Year-to-Date (continued)

5,507,84 -1,133.59	98,275.40 65,398.99	103,783.24 164,265.40 1		Total Short and Long Term	THE PROPERTY OF THE PROPERTY O		Term	Total Long Term Total Short and Long Term
-113.42	5,531.74	5,418.32	100.000	Versus Purchase / SELL	Noncovered	11/14/18 05/15/17		Long Term (continued) QUALCOMM INC Security Identifier: 747525103
Realized Gain/Loss	Cost Basis	ntity Proceeds Cost Basis	Quantity	Date Designation Disposition Method / Transaction Quant	Designation	Date Acquired		Date Description Disposed

Noncovered under the cost basis rules as defined below.

basis reporting rules and may be reported to the IRS on form 1099-B for the applicable tax year in which the securities are disposed amended by the Emergency Economic Stabilization Act of 2008, and are marked as "noncovered". Securities marked as "covered", were identified as securities potentially subject to the cost Generally, securities acquired before 2011, in retirement accounts or held by Non-U.S. entities are not subject to the cost basis reporting rules set forth in the Internal Revenue Code of 1986, as

will not be reported to the IRS Note: In the event where we cannot easily determine the taxability of an account, we may mark the account as noncovered. However, if the account does not receive a 1099B, the cost basis

income received and subsequently reclassified by the issuer as a return of capital. In addition, corporate action events may require adjustments to your original cost basis. Return of capital information and cost basis information, as it relates to corporate actions, has been obtained from sources we believe to be reliable. This Schedule may not reflect all cost basis adjustments necessary for tax reporting purposes, especially for noncovered securities. Adjustments to cost basis may have been made for prior

differences in cast basis reflected on your monthly client brokerage statement at year end versus any subsequent reports, including your 1099-B or online displays you may have available to Adjustments to cost basis can be made after year-end, in particular, for return of capital adjustments, but may also include adjustments for corporate action events. Therefore there may be

any and all liability that may arise with respect to your use and reliance on the information provided herein for such reporting. responsible for and makes no representations or warranties with respect to the accuracy of any information that you report to the IRS or other taxing authorities, and, accordingly, disclaims required to be made by Pershing as it relates to H.R. 1424. You should consult with your tax advisor in order to properly report your gain or loss for tax purposes. Pershing shall not be When you report your cost basis on your tax return, it should be verified using all of your own records. In particular, there may be other adjustments which you need to make, but are not

These shares are unsettled and have been recently disposed. You will also see these shares on the Portfolio Holdings section until this transaction has been settled

be reported on the IRS Form 1099-B. account's selected tax lot method will be used to determine the cost basis for calculating gain and for loss, unless another method was selected at the time of the security disposal, and this may you have selected to use in the disposal of each tax lot of the securities held in your account. If you do not select a method, your account will be defaulted to First In, First Out (FIFO). Your Please refer to the Your Account Information Section in your brokerage account statement for your account's existing tax-lot disposition method. The disposition method is the method which





# Activity Summary (All amounts shown are in base currency)

	Credits This Period	Debits This Period	Net This Period	Credits Year-to-Date	Debits Year-to-Date	Net Year-to-Date
Securities						
Securities Bought	0.00	45,810.49	45,810.49	0.00	-182,932.61	-182,932.61
Securities Sold	26,691.55	0.00	26,691.55	160,140.59	0,00	160,140.59
Total Securities	\$26,691.55	-\$45,810.49	-\$19,118.94	\$160,140.59	-\$182,932.61	-\$22,792.02
Dividends and Interest	\$5,267.94	\$0.00	\$5,267.94	\$12,423.38	\$0.00	\$12,423.38
Distributions	\$18,905.92	\$0.00	\$18,905.92	\$21,398.99	\$0.00	\$21,398.99
Fees	\$0.00	\$0.00	\$0.00	\$0.00	-\$10,605.96	-\$10,605.96
Taxes Withheld	\$0.00	\$0.00	\$0.00	\$0.00	-\$34.24	-\$34.24
FDIC Insured Bank Deposits	\$7,807.43	-\$12,273.66	-\$4,466.23	\$41,627.89	-\$41,531.35	\$96.54
Totals	\$58,672.84	-\$58,084.15	\$588.69	\$235,590.85	-\$235,104.16	\$486.69

### Transactions in Date Sequence

12/11/18	12/10/18	12/10/18	12/07/18	12/05/18	12/04/18	12/04/18	12/03/18	12/03/18	12/03/18	Process/ Settlement Date
								11/30/18	12/03/18 11/30/18	Process/ Trade/ Settlement Transaction Date Date
FDIC INSURED BANK DEPOSIT USD999997	CASH DIVIDEND RECEIVED EMR	FDIC INSURED BANK DEPOSIT USD999997	CASH DIVIDEND RECEIVED AMGN	FDIC INSURED BANK DEPOSIT USD999997	CASH DIVIDEND RECEIVED V	FDIC INSURED BANK DEPOSIT USD999997	FDIC INSURED BANK DEPOSIT USD999997	PURCHASED TRBCX	SOLD HACAX	Activity Type
INSURED DEPOSIT PROGRAM F	100 SHRS EMERSON ELEC CO COM RD 11/16 PD 12/10/18	INSURED DEPOSIT PROGRAM F	100 SHRS AMGEN INC COM RD 11/16 PD 12/07/18	INSURED DEPOSIT PROGRAM F	150 SHRS VISA INC COM CL A RD 11/16 PD 12/04/18	INSURED DEPOSIT PROGRAM F	INSURED DEPOSIT PROGRAM F	T ROWE PRICE BLUE CHIP GROWTH NEPP003890 SOLICITED ORDER DISCRETION EXERCISED HLD-RNVST CAPGN ONLY	HARBOR CAPITAL APPRECIATION FUND SOLICITED ORDER DISCRETION EXERCISED	Description
								225.557	-328.692	Quantity
								107.2900	74,4500	Price
										Accrued Interest
-49.00	49.00	-132.00	132.00	-37.50	37.50	.271.12	-36.00	-24,200.00	24,471.12	Amount
USD	USD	USD	USD	USD	USD	USD	USD	USD	USD	Currency

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	12/14/18	12/14/18	12/14/18	12/13/18	12/13/18	12/13/18	12/13/18	12/13/18	12/13/18	12/13/18	12/13/18	12/12/18	12/11/18	12/11/18	Process/ Settlement Date
			12/12/18												Process/ Trade/ Settlement Transaction Date Date
TRBCX	LONG TERM CAPITAL GAIN	FDIC INSURED BANK DEPOSIT	SOLD SFIX	REINVEST CASH INCOME TRREX	CASH DIVIDEND RECEIVED TRREX	LONG TERM CAPITAL GAIN DISTRIBUTION TRREX	CASH DIVIDEND RECEIVED MET	SHORT TERM CAPITAL GAIN DISTRIBUTION SGENX	CASH DIVIDEND RECEIVED SGENX	LONG TERM CAPITAL GAIN DISTRIBUTION SGENX	FDIC INSURED BANK DEPOSIT USD999997	CASH DIVIDEND RECEIVED WBA	REINVEST CASH INCOME FIGFX	CASH DIVIDEND RECEIVED FIGFX	Activity Type
2/270 2/4/10	T ROWE PRICE BLUE CHIP GROWTH 2255570 SHRS RD	INSURED DEPOSIT PROGRAM F	STITCH FIX INC CL A COM SOLICITED ORDER DISCRETION EXERCISED	T ROWE PRICE REAL ESTATE 683.4770 SHRS SHRS PURCH, AT \$26.38000 RD 12/11 PD 12/13/18	T ROWE PRICE REAL ESTATE 683.4770 SHRS RD 12/11 PD 12/13/18	T ROWE PRICE REAL ESTATE 683.4770 SHRS RD 12/11 PD 12/13/18	200 SHRS METLIFE INC COM RD 11/06 PD 12/13/18	FIRST EAGLE GLOBAL FUND CLASS A 926 9090 SHRS RD 12/11 PD 12/13/18	FIRST EAGLE GLOBAL FUND CLASS A 926 9090 SHRS RD 12/11 PD 12/13/18	FIRST EAGLE GLOBAL FUND CLASS A 926.9090 SHRS RD 12/11 PD 12/13/18	INSURED DEPOSIT PROGRAM F	10/12 PD 12/12/18	FIDELITY INTERNATIONAL GROWTH FUND 18/2:9080 SHRS SHRS PURCH. AT \$12,15000 RD 12/07 PD 12/10/18	FIDELITY INTERNATIONAL GROWTH FUND 1812.9080 SHRS RD 12/07 PD 12/10/18	Description
			-100.000	18.136									15.816		Quantity
			22.2043												Price
															Accrued Interest
	507.50	.3,223.30	2,220.43	478.43	143.53	478.43	84.00	48.20	398.57	2,549.00	-44.00	44.00		192.17 USD	Amount
	USD	USD	USD	USD	USD	USD	USD	USD	USD	USD	USD	USD	USD	USD	Amount Currency





12/17/18	12/17/18	12/17/18	12/17/18	12/17/18	12/17/18	12/17/18	12/17/18	12/17/18	12/17/18	12/17/18	12/17/18	12/14/18	12/14/18	12/14/18	Date	Process/ Settlement
										12/14/18	12/14/18				Date	Trade/ Transaction
REINVEST CASH INCOME PRHSX	REINVEST CASH INCOME PRHSX	SHORT TERM CAPITAL GAIN DISTRIBUTION PRHSX	LONG TERM CAPITAL GAIN DISTRIBUTION PRHSX	REINVEST CASH INCOME FMIJX	REINVEST CASH INCOME FMIJX	SHORT TERM CAPITAL GAIN DISTRIBUTION FMIJX	CASH DIVIDEND RECEIVED FMIX	LONG TERM CAPITAL GAIN DISTRIBUTION FMILX	FDIC INSURED BANK DEPOSIT USD999997	FERBETTISZ FDIC INSURED BANK DEPOSITS INTEREST RECEIVED PEROSITISZ	FDIC INSURED BANK DEPOSITS INTEREST REINVESTED	REINVEST CASH INCOME TRBCX	REINVEST CASH INCOME TRBCX	SHORT TERM CAPITAL GAIN DISTRIBUTION TRBCX	Activity Type	
T ROWE PRICE HEALTH SCIENCES FUND 407.6520 SHRS SHRS PURCH, AT \$70,17000 RD 12/13 PD 12/17/18	T ROWE PRICE HEALTH SCIENCES FUND 407.6520 SHRS SHRS PURCH, AT \$70.17000 RD 12/17/18	T ROWE PRICE HEALTH SCIENCES FUND 407.6520 SHRS RD 12/13 PD 12/17/18	T ROWE PRICE HEALTH SCIENCES FUND 407,6520 SHRS RD 12/13 PD 12/17/18	FMI INTERNATIONAL FUND INVESTOR CLASS (27):7140 SHRS SHRS PURCH, AT \$28,99000 RD (2/13 PD )2/14/18	FMI INTERNATIONAL FUND INVESTOR CLASS 1271.7140 SHRS SHRS PURCH. AT \$28.99000 RD 12/13 PD 12/14/18	FMI INTERNATIONAL FUND INVESTOR CLASS 127:.7140 SHRS RD 12/13 PD 12/14/18	FMI INTERNATIONAL FUND INVESTOR CLASS 127: 7140 SHRS RD 12/13 PD 12/14/18	FMI INTERNATIONAL FUND INVESTOR CLASS 1271 7140 SHRS RD 12/13 PD 12/14/18	INSURED DEPOSIT PROGRAM F	INSURED DEPOSIT INTEREST CREDITED	INSURED DEPOSIT INTEREST REINVESTED	T ROWE PRICE BLUE CHIP GROWTH 225.5570 SHRS SHRS PURCH, AT \$101.54000 RD 12/12 PD 12/14/18	T ROWE PRICE BLUE CHIP GROWTH 225.5570 SHRS SHRS PURCH, AT \$101.54000 RD 12/12 PD 12/14/18	T ROWE PRICE BLUE CHIP GROWTH 225.5570 SHR8 RD 12/12 PD 12/14/18	Description	
2.091	23.470			10.022	25.461							4.998	0.200		Quantity	
															Price	
															Accrued Interest	
-146.75	-1,646.91	146.75	1,646.91	-290.55	-738.10	290.55	1,675.72	738.10	-2,220.43	1.63	·1,63	-507.50	-20.30	20.30	Amount	
USD	USD	USD	USD	USD	USD	USD	USD	USD	USD	USD	USD	USD	GSU	USD	Amount Currency	









12/19/18	12/19/18	12/19/18	12/19/18	12/18/18	12/18/18	12/18/18	12/18/18	12/18/18	12/18/18	12/18/18	12/18/18	12/18/18	12/18/18	Process/ Settlement Date
														Trade/ Transaction Date
CASH DIVIDEND RECEIVED VWIGX	SPECX LONG TERM CAPITAL GAIN DISTRIBUTION	LONG TERM CAPITAL GAIN DISTRIBUTION	FDIC INSURED BANK DEPOSIT	REINVEST CASH INCOME POGRX	REINVEST CASH INCOME POGRX	SHORT TERM CAPITAL GAIN DISTRIBUTION POGRX	CASH DIVIDEND RECEIVED POGRX	LONG TERM CAPITAL GAIN DISTRIBUTION POGRX	REINVEST CASH INCOME PRGTX	REINVEST CASH INCOME PRGTX	SHORT TERM CAPITAL GAIN DISTRIBUTION PRGTX	LONG TERM CAPITAL GAIN DISTRIBUTION PRGTX	FDIC INSURED BANK DEPOSIT USD999997	Activity Type
VANGUARD INTERNATIONAL GROWTH FUND 789.2:40 SHRS RD 12/17 PD 12/19/18	VANGUARD INTERNATIONAL GROWTH FUND 789.2140 SHRS RD 12/17 PD 12/19/18	ALGER SPECTRA FUND CLASS A 1399.0290 SHRS RD 12/17 PD 12/18/18	INSURED DEPOSIT PROGRAM F	PRIMECAP ODYSSEY GROWTH FUND (409.9700 SHRS SHRS PURCH, AT \$35,14000 RD (2/14 PD 12/17/18	PRIMECAP ODYSSEY GROWTH FUND (409.9700 SHRS SHRS PURCH, AT \$35.14000 RD 12/14 PD 12/17/18	PRIMECAP ODYSSEY GROWTH FUND (409.9700 SHRS RD 12/14 PD 12/17/18	PRIMECAP ODYSSEY GROWTH FUND 1409.9700 SHRS RD 12/14 PD 12/17/18	PRIMECAP ODYSSEY GROWTH FUND 1409.9700 SHRS RD 12/14 PD 12/17/18	T ROWE PRICE GLOBAL TECHNOLOGY 1796.7610 SHRS SHRS PURCH, AT \$12.1000 RD 12/14 PD 12/18/18	T ROWE PRICE GLOBAL TECHNOLOGY 1796 7610 SHRS SHRS PURCH, AT \$12,11000 RD 12/14 PD 12/18/18	T ROWE PRICE GLOBAL TECHNOLOGY (796,7610 SHRS RD 12/14 PD 12/18/18	T ROWE PRICE GLOBAL TECHNOLOGY 1796.7610 SHRS RD 12/14 PD 12/18/18	INSURED DEPOSIT PROGRAM F	Description
				27.767	1.435				198.816	247.778				Quantity
														Price
														Accrued Interest
318.13	722,45	3,080.52	-174.05	.975.74	-50.43	50.43	174.05	975.74	-2,407.66	-3,000.59	2,407.66	3,000 59	-1,675.72	Amount
USD	USD	USD	USD	USD	USD	USD	USD	USD	USD	USD	USD	USD	USD	Amount Currency

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12/28/18	12/26/18	12/24/18	12/24/18	12/24/18	12/24/18	12/24/18	12/24/18	12/21/18	12/21/18	12/21/18	12/21/18	12/21/18	12/20/18	12/19/18	12/19/18	12/13/10	13/40/40	Process/ Settlement
12/26/18																	Cara	Trade/ t Transaction
PURCHASED BIDU	FDIC INSURED BANK DEPOSIT USD999997	REINVEST CASH INCOME VSMAX	CASH DIVIDEND RECEIVED VSMAX	REINVEST CASH INCOME	CASH DIVIDEND RECEIVED NFFFX	LONG TERM CAPITAL GAIN DISTRIBUTION NEFEY	FDIC INSURED BANK DEPOSIT USD999997	CASH DIVIDEND RECEIVED NVDA	REINVEST CASH INCOME DODGX	CASH DIVIDEND RECEIVED DODGX	LONG TERM CAPITAL GAIN DISTRIBUTION DODGX	CASH DIVIDEND RECEIVED DODFX	FDIC INSURED BANK DEPOSIT USD999997	REINVEST CASH INCOME VWIGX	REINVEST CASH INCOME VWIGX	DISTRIBUTION VWIGX	CHOST TESM CASITAL CAIN	_
BAIDU COM INC SPONS ADR REPSTG ORD SHS CL A SOLICITED ORDER DISCRETION EXERCISED	INSURED DEPOSIT PROGRAM F	VANGUARD SMALL-CAP INDEX FUND ADMIRAL SHARES 1057.1110 SHRS SHRS PURCH. AT \$60.73000 RD 12/20 PD 12/24/18	VANGUARD SMALL-CAP INDEX FUND ADMIRAL SHARES 1057.1110 SHRS RD 12/20 PD 12/24/18	NEW WORLD FUND CLASS F-2 336:5460 SHRS SHRS PURCH, AT \$55:68000 RD 12/20 PD 12/24/18	NEW WORLD FUND CLASS F-2 336.5460 SHRS RD 12/20 PD 12/24/18	NEW WORLD FUND CLASS F-2 338.5460 SHRS RD 12/20 PD 12/24/18	INSURED DEPOSIT PROGRAM F	25 SHRS NVIDIA CORP COM RD 1/30 PD 12/21/18	DODGE & COX STOCK FUND 169.4750 SHRS SHRS PURCH. AT \$173.08000 RD 12/18 PD 12/20/18	DODGE & COX STOCK FUND 169.4750 SHRS RD 12/18 PD 12/20/18	DODGE & COX STOCK FUND 169.4750 SHRS RD 12/18 PD 12/20/18	DODGE & COX INTERNATIONAL FUND 581,1960 SHRS RD 12/18 PD 12/20/18	INSURED DEPOSIT PROGRAM F	VANGUARD INTERNATIONAL GROWTH FUND 789.2140 SHRS SHRS PURCH, AT \$25.13000 RD 12/17 PD 12/19/18	VANGUARD INTERNATIONAL GROWTH FUND 789.2140 SHRS SHRS PURCH. AT \$25.13000 RD 12/17 PD 12/19/18	SHRS RD (2/17 PD 12/19/18	VANOLINED INTERNATIONAL CECHNIC TO TAKE	Decembling
50.000		5.972		4.313					11.515					28.749	0.383		whallthy	O
156.5485																	\$ F 120	D 7.
																	John Dan Hildren	Arrived Interest
-7,827.43	-263.41	-362.69	362,69	-240.13	263.41	240.13	-746.85	4.00	-1,993 03	115.24	1,993.03	627.61	-3,398.65	.722.45	.9.63	, ,	O GO	A
USD	OSD	USD	USD	USD	USD	OSD	USD	USD	USD	USD	USD	USD	USD	USD	USD	G	O SO LICE	Currency



Account Number: EPP-003890 B00:5003CSF3003







Process/ Settlement	Process/ Trade/ Settlement Transaction	<b>5</b>						
Date	Date	Activity Type	Description	Quantity	Price	Accrued Interest	Amount Currency	Currency
12/28/18		FDIC INSURED BANK WITHDRAWAL	INSURED DEPOSIT PROGRAM F				7,807.43 USD	USD
		USD999997						
12/28/18		CASH DIVIDEND RECEIVED GS	25 SHRS GOLDMAN SACHS GROUP INC COM RD 11/30 PD 12/28/18				20,00	USD
12/28/18		CASH DIVIDEND RECEIVED PARMX	PARNASSUS MID-CAP FUND 2157.6680 SHRS RD 12/26 PD 12/27/18				474,69	OSU
12/31/18		CASH DIVIDEND RECEIVED CHRW	300 SHR3 C H ROBINSON WORLDWIDE INC COM NEW RD 12/17 PD 12/31/18				150.00	USD
Total V	alue of T	Total Value of Transactions				\$0.00	\$588.69	USD
The pric	e and nua	The price and quantity displayed may have been rounded	TO LO CHARLES					

The price and quantity displayed may have been rounded.

### Income and Expense Summary

\$12,389.14 18,411.99 2,087.00	\$5,267.94  \$5,267.94  15,932.40  2,073.53	Total Dividends, Interest, Income and Expenses Distributions Long - Term Capital Gain Distributions
-34.24	0.00	Expenses Withholding Taxes
23.70	its 1.63	Interest Income FDIC Insured Bank Deposits
6,403.76	4.745.81	Other Dividends
5 995 92	US UCS	d Income
Year-to-Date Tax Deferred	Current Period Tax Deferred	





Rule 10b-10(b)(1) confirmations are not sent for purchases into money market mutual funds processed on the sweep platform. account. Please see the money market mutual fund's prospectus or the bank deposit product's disclosure document or contact your advisor for additional information. Pursuant to SEC of a money market mutual fund or the balance of a bank deposit product held in your brokerage account may be liquidated upon request with the proceeds credited to your brokerage account may be liquidated upon request with the proceeds credited to your brokerage account may be liquidated upon request with the proceeds credited to your brokerage account may be liquidated upon request with the proceeds credited to your brokerage account may be liquidated upon request with the proceeds credited to your brokerage account may be liquidated upon request with the proceeds credited to your brokerage account may be liquidated upon request with the proceeds credited to your brokerage account may be liquidated upon request with the proceeds credited to your brokerage account may be liquidated upon request with the proceeds credited to your brokerage account may be also account may be also account may be also account to the proceeds account may be also account to the proceeds account to t Although a money market mutual fund seeks to preserve the value of your investment at \$1 per share, it is possible to lose money by investing in a money market mutual fund. Shares

ON THE PERSHING WEBSITE. MARKET MUTUAL FUND & FDIC-INSURED DEPOSITS PROGRAM RATES & BANK LISTS". PLEASE NOTE THAT WE MAY NOT OFFER ALL OF THE MONEY MARKET FUNDS LISTED MAY VIEW CURRENT MONEY MARKET FUND RATES BY VISITING WWW.PERSHING.COM AND SELECTING THE LINK AT THE BOTTOM OF THE PAGE TITLED "MONEY FEDERAL DEPOSIT INSURANCE CORPORATION (FDIC)-INSURED BANK DEPOSITS ARE NOT PROTECTED BY SECURITIES INVESTOR PROTECTION CORPORATION (SIPC). YOU

## Important Information and Disclosures

- suitability of any transaction or order. Pershing acts as the agent of your financial institution and you agree that you will not hold Pershing or any person controlling or under common control with it liable for any investment losses incurred by you. Pershing carries your account as clearing broker pursuant to a clearing agreement with your financial institution. Pershing may accept from your financial institution without liable for any acts or omissions of your financial institution or its employees and it does not supervise them. Pershing provides no investment advice nor does it assess the inquiry or investigation (i) orders for the purchase and sale of securities and other property and (ii) any other instructions concerning your account. Pershing is not responsible or
- Pershing performs several key functions at the direction of your financial institution. It acts as custodian for funds and securities you may deposit with it directly or through your financial institution or that it receives as the result of securities transactions it processes.
- Your financial institution is responsible for adherence to the securities laws, regulations and rules which apply to it regarding its own operations and the supervision of your account, its sales representatives and other personnel. Your financial institution is also responsible for approving the opening of accounts and obtaining account documents: the if any, to you and in general, for the ongoing relationship that it has with you. acceptance and, in certain instances, execution of securities orders; the assessment of the suitability of those transactions, where applicable; the rendering of investment advice
- your account or activity should be directed to your financial institution. Your financial organization's contact information can be found on the first page of this statement Inquiries concerning the positions and balances in your account may be directed to the Pershing Customer Service Department at (201) 413-3333. All other inquiries regarding
- a definitive enumeration of every possible circumstance, but as a general disclosure. If you have any questions regarding this notice or if you would like additional copies of the For a description of other functions performed by Pershing please consult the Disclosure Statement provided to you upon the opening of your account. This notice is not meant as Disclosure Statement, please contact your financial institution.
- Pershing is a member of the Securities Investor Protection Corporation (SIPC®). Please note that SIPC does not protect against loss due to market fluctuation. In addition to SIPC protection, Pershing provides coverage in excess of SIPC limits. For more detailed information please visit: www.pershing.com/about/strength-and-stability
- receipt of this statement, to your financial organization and Pershing. Please be advised that any oral communication should be re-confirmed in writing to further protect your rights, including your rights under the Securities Investor Protection Act. This statement will be deemed conclusive. You are advised to report any inaccuracy or discrepancy (including unauthorized trading) promptly, but no later than ten days after
- One Pershing Plaza, Jersey City, New Jersey 07399; (201) 413-3330. Errors and Omissions excepted. Your financial organization's contact information can be found on the first page of this statement. Pershing's contact information is as follows: Pershing LLC, Legal Department,

Important Arbitration Disclosures

- All parties to this agreement are giving up the right to sue each other in court, including the right to a trial by jury, except as provided by the rules of the arbitration forum in which
- Arbitration awards are generally final and binding; a party's ability to have a court reverse or modify an arbitration award is very limited
- The ability of the parties to obtain documents, witness statements and other discovery is generally more limited in arbitration than in court proceedings
- panel at least 20 days prior to the first scheduled hearing date. The arbitrators do not have to explain the reason(s) for their award, unless, in an eligible case, a joint request for an explained decision has been submitted by all parties to the
- The panel of arbitrators will typically include a minority of arbitrators who were or are affiliated with the securities industry.
- The rules of some arbitration forums may impose time limits for bringing a claim in arbitration. In some cases, a claim that is ineligible for arbitration may be brought in court
- The rules of the arbitration forum in which the claim is filed, and any amendments thereto, shall be incorporated into this agreement





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# Important Information and Disclosures (continued)

Important Arbitration Agreement

the extent stated herein. The laws of the State of New York govern. action to arbitration, nor seek to enforce any predispute arbitration agreement against any person who has initiated in court a putative class action, who is a member of a putative class who has not opted out of the class with respect to any claims encompassed by the putative class action until; (1) the class certification is denied; (11) the class is decertified; or (11) the client is excluded from the class by the court. Such forbearance to enforce an agreement to arbitrate shall not constitute a waiver of any rights under this agreement except to Any controversy between you and Pershing LLC shall be submitted to arbitration before the Financial Industry Regulatory Authority. No person shall bring a putative or certified class

Pershing's contact information is as follows: Pershing LLC, Legal Department, One Pershing Plaza, Jersey City, New Jersey 07399; (201) 413-3330



Pershing LLC, member HNRA, NYSL, SIPC

### TERMS AND CONDITIONS

### TRANSACTIONS

- ALL ORDERS AND TRANSACTIONS SHALL BE SOLELY FOR YOUR ACCOUNT AND RISK SHALL BE SUBJECT TO THE CONSTITUTION, RULLES, REGULATIONS, CUSTOMS, USAGES, RULINGS AND INTERPRETATIONS OF THE EXCHANGE OR MARKET AND THE CLEARING FACILITY, IF ANY, WHERE THE TRANSACTIONS ARE EXECUTED AND/OR SETTLED, OR IF APPLICABLE, OF THE FINANCIAL INDUSTRY REGULATORY AUTHORITY AND TO ALL APPLICABLE LAWS AND REGULATIONS.
- WITH PERSHING UNTIL THE ENTIRE PURCHASE PRICE IS RECEIVED OR UNTIL THE SETTLEMENT TITLE TO SECURITIES SOLD TO YOU, WHERE PERSHING HAS ACTED AS PRINCIPAL, SHALL REMAIN DATE, WHICHEVER IS LATER.
- YOU MAY HAVE RECEIVED CONFIRMATIONS FOR TRANSACTIONS WHICH DO NOT APPEAR ON YOUR STATEMENT. IF SO, THE TRANSACTIONS WILL APPEAR ON YOUR NEXT PERIODIC STATEMENT. SUCH TRANSACTIONS MUST BE CONSIDERED BY YOU WHEN COMPUTING THE VALUE OF YOUR ACCOUNT. THIS IS ESPECIALLY TRUE IF YOU HAVE WRITTEN OPTIONS WHICH HAVE BEEN EXERCISED.

BOOKS OF RECORD, ARE NOT SEGREGATED AND MAY BE USED IN THE CONDUCT OF ITS BUSINESS. FREE CREDIT BALANCES: ANY FREE CREDIT BALANCE CARRIED FOR YOUR ACCOUNT REPRESENTS FUNDS PAYABLE UPON DEMAND WHICH, ALTHOUGH PROPERLY ACCOUNTED FOR ON PERSHING'S

STATEMENT. THE RATE OF INTEREST AND PERIOD COVERED ARE INDICATED. THE RATE MAY CHANGE FROM TIME TO TIME DUE TO FLUCTUATIONS IN MONEY RATES OR OTHER REASONS. INTEREST IS COMPUTED AS DESCRIBED IN MATERIAL PREVIOUSLY FURNISHED TO YOU. PLEASE CONTACT YOUR FINANCIAL INSTITUTION IF YOU DESIRE ADDITIONAL COPIES. DEBIT BALANCES: INTEREST CHARGED ON DEBIT BALANCES IN YOUR ACCOUNT APPEARS ON THE

MARGIN INFORMATION: IF YOU MAINTAIN A MARGIN ACCOUNT, THIS IS A COMBINED STATEMENT OF YOUR GENERAL ACCOUNT AND A SPECIAL MEMORANDUM ACCOUNT MAINTAINED FOR YOU UNDER REGULATION T OF THE BOARD OF GOVERNORS OF THE FEDERAL RESERVE SYSTEM. THE PERMANENT RECORD OF THE SEPARATE ACCOUNT AS REQUIRED BY REGULATION T IS AVAILABLE FOR YOUR NSPECTION UPON REQUEST.

### TAX INFORMATION

- AFTER YEAR END, PERSHING IS REQUIRED TO PROVIDE TAX INFORMATION TO THE INTERNAL REVENUE SERVICE AND OTHER GOVERNMENTAL AUTHORTIES AT THAT TIME PERSHING WILL PROVIDE THAT INFORMATION ON THE ANNUAL TAX INFORMATION STATEMENT TO YOU; USE THAT STATEMENT TO PREPARE YOUR TAX FILINGS. THE TAX STATEMENT ALSO INCLUDES OTHER USEFUL INFORMATION TO ASSIST IN ACCUMULATING THE DATA TO PREPARE YOUR TAX RETURNS.

  DIVIDENDS, INTEREST AND OTHER DISTRIBUTIONS SHOWN ON THIS STATEMENT WERE CLASSIFIED AS TAXABLE OR NONTAXABLE BASED ON CERTAIN INFORMATION KNOWN AS OF THE DISTRIBUTION AS TAXABLE OR NONTAXABLE BASED ON CERTAIN INFORMATION KNOWN AS OF THE DISTRIBUTION.
- GENERAL INFORMATION. DATE. THIS CLASSIFICATION IS SUBJECT TO CHANGE AND IS SOLELY INTENDED FOR USE AS
- PERSHING DOES NOT PROVIDE TAX, INVESTMENT OR LEGAL ADVISORY SERVICES AND NO ONE ASSOCIATED WITH PERSHING IS AUTHORIZED TO RENDER SUCH ADVICE, IF GIVEN, INVESTORS ARE ENCOURAGED TO CONSULT THEIR TAX ADVISORS TO DETERMINE THE APPROPRIATE TAX TREATMENT OF THEIR BUSINESS.

### GENERAL INFORMATION

- WHENEVER YOU ARE INDEBTED TO PERSHING LLC ("PERSHING") FOR ANY AMOUNT, ALL SECURITIES HELD BY IT FOR YOU IN ANY ACCOUNT IN WHICH YOU HAVE ANY INTEREST SHALL SECURE ALL YOUR LIABILLTIES TO PERSHING, AND PERSHING MAY IN ITS DISCRETION AT ANY TIME, WITHOUT TENDER, DEMAND OR NOTICE TO YOU, CLOSE OR REDUCE ANY OR ALL OF YOUR ACCOUNTS BY PUBLIC OR PRIVATE SALE OR PURCHASE OR BOTH OF ALL OR ANY SECURITIES CARRIED IN SUCH ACCOUNTS; ANY BALANCE REMAINING DUE PERSHING TO BE PROMPTLY PAID BY YOU. WHENEVER YOU ARE INDEBTED TO PERSHING FOR ANY AMOUNT, ALL SECURITIES CARRIED FOR YOUR ACCOUNT ARE OR MAY BE, WITHOUT FURTHER NOTICE TO YOU, LOANED OR PLEDGED BY PERSHING, EITHER SEPARATELY OR UNDER CIRCUMSTANCES WHICH WILL PERMIT THE COMMINGLING THEREOF, WITH OTHER SECURITIES FOR ANY AMOUNT LESS THAN, EQUAL TO OR GREATER THAN YOUR LIABILLTIES TO PERSHING, BUT NOT UNDER CIRCUMSTANCES FOR AN AMOUNT

- PERSHING MAY TRADE FOR ITS OWN ACCOUNT AS A MARKET MAKER, SPECIALIST, ODD LOT DEALER, BLOCK POSMIONER, ARBITRAGEUR OR INVESTOR, CONSEQUENTLY, AT THE TIME OF ANY TRANSACTION YOU MAY MAKE, PERSHING MAY HAVE POSMION IN SUCH SECURITIES, WHICH POSMION MAY BE PARTIALLY OR COMPLETELY HEDGED.
- IF AVERAGE PRICE TRANSACTION IS INDICATED ON THE FRONT OF THIS STATEMENT YOUR AVAILABLE UPON REQUEST FINANCIAL INSTITUTION OR PERSHING MAY HAVE ACTED AS PRINCIPAL, AGENT OR BOTH. DETAILS
- A FINANCIAL STATEMENT OF PERSHING IS AVAILABLE FOR YOUR PERSONAL INSPECTION AT PERSHING'S OFFICES. A COPY OF IT WILL BE MAILED UPON YOUR WRITTEN REQUEST OR YOU CAN VIEW IT ONLINE AT WWW.PERSHING.COM.
- FOR BUSINESS CONTINUITY AND ADDITIONAL DISCLOSURES: WWW.PERSHING.COM/DISCLOSURES
- THIS STATEMENT SHOULD BE RETAINED FOR YOUR RECORDS

## RULE 607(A)(1)-(2)] PAYMENT FOR ORDER FLOW AND ORDER ROUTING POLICIES DISCLOSURES [REGULATION NMS—

PERSHING SENDS CERTAIN EQUITY ORDERS TO EXCHANGES, ELECTRONIC COMMUNICATION NETWORKS, OR BROKER-DEALERS DURING NORMAL BUSINESS HOURS AND DURING EXTENDED TRADING SESSIONS. CERTAIN OF THESE VENUES PROVIDE PAYMENTS TO PERSHING OR CHARGE ACCESS FEES TO PERSHING DEPENDING UPON THE CHARACTERISTICS OF THE ORDER AND ANY SUBSEQUENT EXECUTION. THE DETAILS OF THESE PAYMENTS AND FEES ARE AVAILABLE UPON WRITTEN REQUEST. PERSHING RECEIVES PAYMENTS FOR DIRECTING LISTED OPTIONS ORDER FLOW TO CERTAIN OPTION EXCHANGES IN ADDITION, PERSHING ROUTES CERTAIN EQUITY AND OPTION CRDERS TO ITS AFFILIATE, BNY MELLON CAPITAL MARKETS, LLC, FOR EXECUTION AS PRINCIPAL. COMPENSATION IS GENERALLY IN THE FORM OF A PER OPTION CONTRACT CASH PAYMENT.

BEST EXECUTION: NOTWITHSTANDING THE PREVIOUS PARAGRAPH REGARDING PAYMENT FOR ORDER FLOW, PERSHING SELECTS CERTAIN MARKET CENTERS TO PROVIDE EXECUTION OF OVER THE. COUNTER AND EXCHANGE-LISTED SECURITIES TRANSACTIONS WHICH AGREE TO ACCEPT ORDERS. TRANSMITTED ELECTRONICALLY UP TO A SPECIFIED SIZE, AND TO EXECUTE THEM AT OR BETTER THAN THE NATIONAL BEST BID OR OFFER (NBBD). ON CERTAIN LARGER ORDERS, OR IF THE DESIGNATED MARKET CENTERS DO NOT MAKE A MARKET IN THE SUBJECT SECURITY, PERSHING DIRECTLY CONTACTS MARKET CENTERS TO OBTAIN AN EXECUTION. THE DESIGNATED MARKET CENTERS TO WHICH ORDERS ARE AUTOMATICALLY ROUTED ARE SELECTED BASED ON THE CONSISTENT HIGH WHICH ORDERS ARE AUTOMATICALLY ROUTED ARE SELECTED BASED ON THE REPORTED TO TOWNDE QUALITY OF PROVIDE OPPORTUNITIES FOR EXECUTIONS AT PRICES SUPERIOR TO THE NBBO, PERSHING ALSO REGULARLY OPPORTUNITIES FOR EXECUTIONS AT PRICES SUPERIOR TO THE NBBO, PERSHING ALSO REGULARLY REVIEWS REPORTS FOR QUALITY OF EXECUTION PURPOSES

IF ANY OF THE ABOVE TERMS AND CONDITIONS ARE UNACCEPTABLE TO YOU, PLEASE NOTIFY PERSHING IMMEDIATELY IN WRITING BY CERTIFIED MAIL TO ONE PERSHING PLAZA, JERSEY CITY, NJ 07399, ATTN: LEGAL DEPT





### Attachment 3



**OOLTEWAH TN 37363-7118** 8714 RAMBLING ROSE DR PERSHING LLC AS CUSTODIAN SEP FBO CHARLES J FLEISCHMANN

Your Financial Advisor Is: WARD PETTY (423) 668-5411

Account Number: EBR-299133

December 1, 2018 - December 31, 2018

### Portfolio at a Glance

	This Period	Year-to-Date
BEGINNING ACCOUNT VALUE	\$11,694.41	\$11,143.40
Deposits (Cash & Securities)	3,993.57	7,987.14
Withdrawals (Cash & Securities)	-3,993.57	-3,993.57
Dividends, Interest and Other Income	4.12	14.61
Net Change in Portfolio	-3,124.63	-6,577.68
STATE AND A STATE OF THE STATE	\$8.573.90	\$8,573.90
Estimated Annual Income	\$14.61	

beginning account value after activity. Net Change in Portfolio is the difference between the ending account value and

The Bank Deposits in your account are FDIC insured bank deposits.
FDIC insured bank deposits are not securities and are not covered by the Securities Investor Protection Corporation (SIPC). These bank deposits are covered by the Federal Deposit Insurance Corporation (FDIC), up to allowable limits.

### Asset Summary



100%	51%	49%
Account Total (Pie Chart)	Alternative Investments	49% Cash, Money Funds, and Bank Deposits

Percent

Asset Type

Please review your allocation periodically with your Financial Advisor.

See the Asset Summary Disclosure and Footnotes section for important information regarding your Asset Summary.

\$11,143.40

\$11,694.41

\$8,573.90

4,347.32 4,226.58

7,471.95

10.925.00 218.40 Prior Year-End

Last Period

This Period

Go paperless





## Asset Summary Disclosure and Footnotes

Note: Unpriced securities are not included in the Total Account Value.

## Summary of Gains and Losses

		Realized	
	This Period	ı	Unrealized
Long-Term Gain / Loss	-3,124.63		0.00
Net Gain/Loss	-3,124.63	-3,124.63	0.00
This summary excludes transactions where cost basis information is not available.			

### For Your Information

## **Electronic Delivery of Tax Documents**

Electronic delivery of account communications can make managing your financial information easier-and tax documents are no exception. With anywhere, anytime access and the ability to download, then e- mail tax documents to your accountant, e-delivery is the convenient way to approach tax season! Enroll today- and if you're enrolled for account statements, but not tax documents, simply click the "Go Paperless" icon when you log in. GO PAPERLESS!

prospectus, by clicking on the Go Paperless button when you log in. If you do not have on-line access, please contact your financial advisor and the process can be expedited for you If you currently have online access to your accounts through NetXInvestor, you can sign up for e-delivery of your statements and confirms, as well as Mutual Fund, ETF and UIT

This convenient e-delivery service is available even it you don't desire access to daily positions, values, balances and quotes. Contact your financial advisor and we can set up e-delivery

Make the move to paperless today!

## Client Service Information

1101 BROAD STREET, SUITE 105 CHATTANOOGA TN 37402-2943		Your Financial Advisor Is: C90
Fax Number: (423) 668-5412	Telephone Number: (423) 668-5411	Contact Information

## Your Account Information

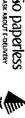
Investment Objective: MODERATE GROWTH INVESTMENT OBJECTIVE

Please review your investment objective. If you wish to make a change or have any questions please contact your Financial Advisor.













## Your Account Information (continued)

RETIREMENT INFORMATION

Year-End Fair Market Value (12/31/2018): \$8,573.90. (Includes the fair market value of hard-to-value assets)

Year-End Fair Market Value of Hard-To-Value Assets (12/31/2018): \$4,347.32.

assets for tax reporting purposes are generally defined as assets that are not readily tradable The fair market value for hard-to-value assets has been provided for Individual Retirement Accounts, based on Internal Revenue Service (IRS) reporting requirements. Hard-to-value

IRS Classifications for hard-to-value assets within your account:

E = Ownership interest in a partnership, trust, or similar entity (unless the entity is traded on an established securities market)

valuation adjustments made after 12/31/2018 The year-end fair market value is furnished to the Internal Revenue Service for Individual Retirement Accounts. Your fair market value may change based on transaction or asset

Please verify this information, and if you have any changes, and or questions, please contact your tax professional or Financial Advisor

First In First Out

TAX LOT DEFAULT DISPOSITION METHOD

Default Method for Mutual Funds:

Default Method for Stocks in a Dividend Reinvestment Plan: First In First Out

Default Method for all Other Securities: First In First Out

BOND AMORTIZATION ELECTIONS

Amortize premium on taxable bonds based on Constant Yield Method: Yes Constant Yield Method

Include market discount in income annually. Accrual market discount method for all other bond types:

ELECTRONIC DELIVERY

You have not selected any account communications for electronic delivery. To register and turn off paper communications, log in to your account or contact your Financial Advisor for

## Client Account Beneficiary Information

BRENDA FLEISCHMANN	Beneficiary Name
PRIMARY	Beneficiary Name Primary /Contingent Relationship to Account Holder(s) Altocation Percent
SPOUSE	Relationship to Account Holder(s)
100.00	Allocation Percent

Disclosures and Other Information:

agreement will control. Please contact your Financial Advisor to update your beneficiary information if necessary or to review more detailed information concerning your designations you executed to designate any beneficiaries displayed controls distribution to such parties. If differences exist between information here, and the signed beneficiary agreement, the The beneficiary information displayed is a summary of information you have provided and should accurately reflect the most recent beneficiary information received. An agreement







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## Retirement Account Transactions

Total Contributions	Participant 3,993.57	Contributions		
\$3,993.57	3,993.57		This Period	Tax Year - 2018
	l		Year-to-Date	r - 2018
\$0.00	3,993.57 0.00 0.00		This Period	Tax Year - 2017
\$0.00	0.00		Year-to-Date	7

NOTE: The amounts shown in the Year-to-Date columns are aggregate amounts of all transactions conducted for a particular transaction type.

\$4,226.58			C Insured Bank Deposits	Total FDIC
			12/31/18 Closing Balance	12/31/18
and an experimental of a speed of an experimental of the		A/O12/17 \$4226.58		PROPERTY AND PROPERTY OF THE P
4,226.58		Citibank N.A.		12/17/18
		APY 1.15%		
4,226.58	4.12	INTEREST CREDITED	Deposit	12/14/18
4,222.46	4,222.46		Opening Balance	12/01/18
			Activity Ending: 12/31/18	Activity En
			INSURED DEPOSIT PROGRAM F	INSURED [
			Sweep FDIC Insured Bank Deposits	Sweep FDI
Balance	Amount	Description	Activity Type	Date

The FDIC Insured Bank Deposits are not securities and are not covered by the Securities Investor Protection Corporation (SIPC). The Bank Deposits at each bank are insured by the Federal Deposit Insurance Corporation (FDIC) up to \$250,000 for each category of legal ownership including individual retirement accounts and certain other self directed retirement accounts. Please review this in connection with other deposits you may have at each respective bank.

		Account	Activity	Opening	Closing	Accrued	Income		Current
Opening Date	Quantity	Number	Ending	Balance	Balance	Income	This Year	Yield	Yield
CASH, MONEY FUNDS, AND BANK DEPOSITS 49.00% of Portfolic	AND BANK DEF	OSITS 49.00%	% of Portfolio						
FDIC Insured Bank Deposits	its								
INSURED DEPOSIT PROGRAM F									
12/01/18	4,226.580	N/A	12/31/18	4,222.46	4,226.58	1.85	4.12	N/A	N/A
DEUTSCHE BANK INS DEPOSIT E									
12/01/18		N/A	12/31/18	0.00	0.00	0.00	10.49	NA	N/A
Total FDIC Insured Bank Deposits	Deposits			\$4,222.46	\$4,226.58	\$1.85	\$14.61		
TOTAL CASH, MONEY FUNDS, AND BANK DEPOSITS	UNDS, AND BA	NK DEPOSITS	1	\$4,222.46	\$4,226.58	\$1.85	\$14.61		







Page 4 of 1"





Date Acquired Quantity Unit Cost	Cost Basis	Market Price	Estimated Value	Unrealized Gain/Loss	Estimated Estimated Annual Income Yield
ALTERNATIVE INVESTMENTS 51.00% of Portfolio					
TOWERHILL LONG SHORT EQUITY LLC Valuation Date: 1979/18 Valuation Code: R. V. C.	Security Ide	Security Identifier: 891LP1239			
02/12/13 *.3.12.H 4.347.320 1.0000	4.347.32	N/A	4,347.32	0.00	
TOTAL ALTERNATIVE INVESTMENTS	\$4,347.32		\$4,347.32	\$0.00	\$0.00

- B = This is an estimate of the value of the security.
- C = The source of this information is the manager or the administrator of the program.
- pricing agent and may not include all fees and I or charges. Please contact your investment professional or financial organization for additional information V = The market price of N/A is displayed because the investment does not have a per unit value. The investment value is an estimated value provided by the sponsor or the sponsor's

TOTAL PORTFOLIO HOLDINGS \$8,573.90 \$8,573.90 \$0.00 \$0.00 \$14.		
\$8,573.90	Cost Basis	
\$8,573.90	Market Value	
\$0.00	Gain/Loss	Unrealized
\$0.00	Interest	Accrued
\$14.61	Annual Income	Estimated

Noncovered under the cost basis rules as defined below.

subject to the cost basis reporting rules and may be reported to the IRS on form 1099-B for the applicable tax year in which the securities are disposed 1986, as amended by the Emergency Economic Stabilization Act of 2008, and are marked as "noncovered". Securities marked as "covered", were identified as securities potentially Generally, securities acquired before 2011, in retirement accounts or held by Non-U.S. entities are not subject to the cost basis reporting rules set forth in the Internal Revenue Code of

basis will not be reported to the IRS Note: In the event where we cannot easily determine the taxability of an account, we may mark the account as noncovered. However, if the account does not receive a 1099B, the cost

- 3 Either all or a portion of the cost basis of this security has been provided to us by you or your introducing firm and Pershing makes no representation as to the accuracy of this information
- 12 Pershing has received updated cost basis information for either all or some of the shares for this security, therefore cost basis provided on previous client brokerage statements may differ from the new cost basis reported in this section.
- H This security has been denoted as a hard-to-value asset. Hard-to-value assets for tax reporting purposes are generally defined as assets that are not readily tradable

administrator of the Alternative Investment product, may not reflect recent activity or current values and may not reflect an independent evaluation of the Alternative Investment share estimate value provided in your account statement. Please note the estimated product values for Alternative Investments, which are provided by the manager or the above. Alternative Investment securities are not listed on a securities exchange, generally illiquid, and if you are able to sell the securities, the price received may be less than the per guaranteed, provided for informational purposes only and are intended to reflect an estimate of the interest in the Alternative Investment represented by the units or shares described funds, fund of funds, private equity, real estate and managed future have been provided by the manager or the administrator of the Alternative Investment product. The values are not The estimated values, where indicated of Alternative Investments, including limited partnerships, real estate investment trusts (REITs), direct participation programs (DPPs), hedge







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organization may also increase the currency conversion rate. The conversion rate from rates in effect on the date you executed a translation conversion and executed a translation of the conversion of the conver Exhibited from customery barking sources on the conversion date on the prior business day, to be seen in . In lease a particular rate is required by applicable law. Your diseases by up to it is unless a particular rate is required by applicable law. Your diseases by up to see the conversion of the conversion of the prior business and the conversion of elen nojeravnos Arachelini ksampid seut besszie foru Biw sien rolanswooz gonernus a pakriasią. Askunstiko notisztażym lebrianiż nuov koutest kody assimu andobesaret nodos sienocnos TENNING WAS EXECUTED IN THE TOTAL OF THE PROPERTY OF THE PROPE FOREign Currency Transactions

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### ayort and reselves payment for order flow.

technishing the time of execution and the name of the perace from whom your security was purchased, may be collabora. In dividuod retrustment transactions, Fersing acts as your Have been reinseket. You will not receive confirmation of these reinvecturents. Look will not be interested in your financial inclination pertaining to these reinvectures. The dollar amount of Mutual Fund distributions. Honey Marcel Fund dividend income, sample and instruction or your statement and instruction or ground instructions and instructions are consistent and distributions are grown on your statement and instruction of the contract instructi

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may be included in the injuries for certain securities, thereby oversiating them, fielder to wawn pershing comit dischosures ion specific details as to formulae treed to calculate the figures. Expansed for models no media facilities. A finishess of definishes activities and for devining, or facilities of definition of models of the second for the and dividend raises are endych to change at any linne, and may be affeched by current and disture economic, political, and business conditions, they should not be raised on for marking I James results. Exercises and of as sharm solves cash season and resistant for determined and resistant for season and r to face and at the editor of the second and second 35 MOT LEARNA DEFENDES

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## Portfolio Holdings Disclosures (continued)

### Proxy Vote

shares held on margin may be reduced by the amount of shares on loan. The Proxy Voting Instruction Form sent to you may reflect a smaller number of shares entitled to vote than Securities not fully paid for in your margin account may be lent by Pershing to itself or others in accordance with the terms outlined in the Margin Agreement. The right to vote your the number of shares in your margin account.

Important Message Regarding Your Portfolio Holdings HARD TO VALUE POSITIONS

expect that the fair market value for hard-to value assets reflects the amount you would actually receive in the event of a sale. Positions identified on your statements as "hard-to-value" may show a "fair market value" amount for IRS purposes. Because hard-to-value assets are not readily tradeable, and because there are multiple ways that "value" may be ascertained by issuers and valuation services, and because the value shown is only a point-in-time assessment, you should not MESSAGE REGARDING ROLLED-UP TAX LOTS

While your tax lots have been rolled up, all of the lots are still maintained. If you would like to receive the details of your tax lots, please contact your financial advisor

Schedule of Realized Gains and Losses Year-to-Date	d Gains and I	_osses Yea	ar-to-Date					The second secon
Description	Date Disposed	Date Acquired	Designation	Disposition Method / Transaction	Quantity	Proceeds	Cost Basis	Realized Gain/Loss
Long Term TOWERHILL LONG SHORT	12/28/18	~	Noncovered*.1	First In First Out / REDEMPTION	3,124.630	0.00	3,124.63	
Security Identifier: 89/LP1239								
Total Long Term	AA AMA AA AA BARKAAN BAA BAAR BIRWANA BIRWAY FIRSTI	and the grant or in page and many accommensus			- — — — — — — — — — — — — — — — — — — —	0.00	3,124.63	-3,124.63
Total Short and Long Term	erm		***************************************			0.00	3,124.63	-3,124.63

Noncovered under the cost basis rules as defined below.

basis reporting rules and may be reported to the IRS on form 1099-B for the applicable tax year in which the securities are disposed amended by the Emergency Economic Stabilization Act of 2008, and are marked as "noncovered". Securities marked as "covered", were identified as securities potentially subject to the cost Generally, securities acquired before 2011, in retirement accounts or held by Non-U.S. entities are not subject to the cost basis reporting rules set forth in the Internal Revenue Code of 1986, as

will not be reported to the IRS Note: In the event where we cannot easily determine the taxability of an account, we may mark the account as noncovered. However, if the account does not receive a 10998, the cost basis

information and cost basis information, as it relates to corporate actions, has been obtained from sources we believe to be reliable income received and subsequently reclassified by the issuer as a return of capital. In addition, corporate action events may require adjustments to your original cost basis. Return of capital This Schedule may not reflect all cost basis adjustments necessary for tax reporting purposes, especially for noncovered securities. Adjustments to cost basis may have been made for prior

Page 7 of ; "

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# Schedule of Realized Gains and Losses Year-to-Date (continued)

differences in cost basis reflected on your monthly client brokerage statement at year end versus any subsequent reports, including your 1099-B or online displays you may have available to Adjustments to cost basis can be made after year-end, in particular, for return of capital adjustments, but may also include adjustments for corporate action events. Therefore there may be

required to be made by Pershing as it relates to H.R. 1424. You should consult with your tax advisor in order to properly report your gain or loss for tax purposes. Pershing shall not be responsible for and makes no representations or warranties with respect to the accuracy of any information that you report to the IRS or other taxing authorities, and, accordingly, disclaims any and all liability that may arise with respect to your use and reliance on the information provided herein for such reporting. When you report your cost basis on your tax return, it should be verified using all of your own records. In particular, there may be other adjustments which you need to make, but are not

1 The cost basis of this security has been provided to us by you or your introducing firm and Pershing makes no representation as to the accuracy of this information

you have selected to use in the disposal of each tax lot of the securities held in your account. If you do not select a method, your account will be defaulted to First In, First Out (FIFO). Your Please refer to the Your Account Information Section in your brokerage account statement for your account's existing tax-lot disposition method. The disposition method is the method which account's selected tax lot method will be used to determine the cost basis for calculating gain and/or loss, unless another method was selected at the time of the security disposal, and this may be reported on the IRS Form 1099-B.

	Credits This Period	<b>Debits This Period</b>	Net This Period	Credits Year-to-Date	Debits Year-to-Date
Dividends and Interest	\$4.12	\$0.00	\$4.12	\$14.61	\$0.00
Cash					
Withdrawals	0.00	-3,993.57	-3,993.57	0.00	-3,993.57
Deposits	3,993.57	0.00	3,993.57	7,987.14	0.00
Total Cash	\$3,993.57	-\$3,993.57	\$0.00	\$7,987.14	-\$3,993.57
FDIC Insured Bank Deposits	\$0.00	-\$4.12	-\$4.12	\$4,222.46	-\$8,230.64
Totals	\$3,997.69	-\$3,997.69	\$0.00	\$12,224.21	-\$12,224.21

Net Year-to-Date

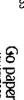
\$14.61

-\$4,008.18 \$3,993.57 7,987.14 -3,993.57

\$0.00

Transactions in Date Sequence

PER987762 PER987762 12/26/18 08/31/18 CURRENT YEAR CONTRIBUTION USD999997	PER987762 12/17/18 12/14/18 FDIC INSURED BANK DEPOSITS INTEREST BECCEIVED	12/17/18 12/14/18 FDIC INSURED BANK DEPOSITS INTEREST	Process/ Trade/ Settlement Transaction Date Date Activity Type
A/O 08/31/2018	INSURED DEPOSIT INTEREST CREDITED	INSURED DEPOSIT INTEREST REINVESTED	Description
			Quantity
			Price
			Accrued Interest
3,993.57 USD	4.12	-4.12	Amount
USD	USD	-4.12 USD	Amount Currency





Page 8 of 1"





# Transactions in Date Sequence (continued)

Settlement Transaction	saction						
Date Date	Activity Type	Description	Quantity	Price	Accrued Interest	Amount	Currency
12/26/18 08/3	12/26/18 08/31/18 FEDERAL FUND WIRE	REV A/O 08/3:/20:8				-3,993,57 USD	GSU
	ADJUSTMENT						
	USD999997						
12/28/18	SECURITY REDEEMED	TOWERHILL LONG SHORT EQUITY LLC AS PER AUDIT	-3,124.630			0.00 USD	OSU
	891LP1239	VALUATION					
Total Value	Total Value of Transactions			e equicibilità de de e e e e e e e e e e e e e e e e	\$0.00	\$0,00 USD	dsu
The price and	The price and quantity displayed may have been rounded.	en rounded.					

## Income and Expense Summary

Interest Income 4.12 FDIC Insured Bank Deposits Total Dividends, Interest, Income and Expenses \$4.12	Current Period  Tax Deferred
4.12 \$4.12	Current Period Yea Tax Deferred Tax
14.61 \$14.61	Year-to-Date Tax Deferred

Rule 10b-10(b)(1) confirmations are not sent for purchases into money market mutual funds processed on the sweep platform Although a money market mutual fund seeks to preserve the value of your investment at \$1 per share, it is possible to lose money by investing in a money market mutual fund. Shares of a money market mutual fund or the balance of a bank deposit product held in your brokerage account may be liquidated upon request with the proceeds credited to your brokerage of a money market mutual fund or the balance of a bank deposit product held in your brokerage account may be liquidated upon request with the proceeds credited to your brokerage. account. Please see the money market mutual fund's prospectus or the bank deposit product's disclosure document or contact your advisor for additional information. Pursuant to SEC

FEDERAL DEPOSIT INSURANCE CORPORATION (FDIC)-INSURED BANK DEPOSITS ARE NOT PROTECTED BY SECURITIES INVESTOR PROTECTION CORPORATION (SIPC). YOU MAY VIEW CURRENT MONEY MARKET FUND RATES BY VISITING WWW.PERSHING.COM AND SELECTING THE LINK AT THE BOTTOM OF THE PAGE TITLED "MONEY MARKET MUTUAL FUND & FDIC-INSURED DEPOSITS PROGRAM RATES & BANK LISTS". PLEASE NOTE THAT WE MAY NOT OFFER ALL OF THE MONEY MARKET FUNDS LISTED ON THE PERSHING WEBSITE



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Pershing LLC, member HNRA, NYSE, SIPC

## Important Information and Disclosures

- suitability of any transaction or order. Pershing acts as the agent of your financial institution and you agree that you will not hold Pershing or any person controlling or under common control with it liable for any investment losses incurred by you. inquiry or investigation (i) orders for the purchase and sale of securities and other property and (ii) any other instructions concerning your account. Pershing is not responsible or Pershing carries your account as clearing broker pursuant to a clearing agreement with your financial institution. Pershing may accept from your financial institution without liable for any acts or omissions of your financial institution or its employees and it does not supervise them. Pershing provides no investment advice nor does it assess the
- Pershing performs several key functions at the direction of your financial institution. It acts as custodian for funds and securities you may deposit with it directly or through your financial institution or that it receives as the result of securities transactions it processes.
- acceptance and, in certain instances, execution of securities orders; the assessment of the suitability of those transactions, where applicable; the rendering of investment advice account, its sales representatives and other personnel. Your financial institution is also responsible for approving the opening of accounts and obtaining account documents: the if any, to you and in general, for the ongoing relationship that it has with you. Your financial institution is responsible for adherence to the securities laws, regulations and rules which apply to it regarding its own operations and the supervision of your
- Inquiries concerning the positions and balances in your account may be directed to the Pershing Customer Service Department at (201) 413-3333. All other inquiries regarding your account or activity should be directed to your financial institution. Your financial organization's contact information can be found on the first page of this statement
- a definitive enumeration of every possible circumstance, but as a general disclosure. If you have any questions regarding this notice or if you would like additional copies of the For a description of other functions performed by Pershing please consult the Disclosure Statement provided to you upon the opening of your account. This notice is not meant as Disclosure Statement, please contact your financial institution.
- protection, Pershing provides coverage in excess of SIPC limits. For more detailed information please visit: www.pershing.com/about/strength-and-stability. Pershing is a member of the Securities Investor Protection Corporation (SIPC®). Please note that SIPC does not protect against loss due to market fluctuation. In addition to SIPC
- receipt of this statement, to your financial organization and Pershing. Please be advised that any oral communication should be re-confirmed in writing to further protect your This statement will be deemed conclusive. You are advised to report any inaccuracy or discrepancy (including unauthorized trading) promptly, but no later than ten days after rights, including your rights under the Securities Investor Protection Act.
- One Pershing Plaza, Jersey City, New Jersey 07399; (201) 413-3330. Errors and Omissions excepted Your financial organization's contact information can be found on the first page of this statement. Pershing's contact information is as follows: Pershing LLC, Legal Department

Important Arbitration Disclosures

- All parties to this agreement are giving up the right to sue each other in court, including the right to a trial by jury, except as provided by the rules of the arbitration forum in which
- Arbitration awards are generally final and binding; a party's ability to have a court reverse or modify an arbitration award is very limited.

  The ability of the parties to obtain documents, witness statements and other discovery is generally more limited in arbitration than in court proceedings.
- panel at least 20 days prior to the first scheduled hearing date. The arbitrators do not have to explain the reason(s) for their award, unless, in an eligible case, a joint request for an explained decision has been submitted by all parties to the
- The panel of arbitrators will typically include a minority of arbitrators who were or are affiliated with the securities industry.
- The rules of some arbitration forums may impose time limits for bringing a claim in arbitration. In some cases, a claim that is ineligible for arbitration may be brought in court
- The rules of the arbitration forum in which the claim is filed, and any amendments thereto, shall be incorporated into this agreement.

## Important Arbitration Agreement

action to arbitration, nor seek to enforce any predispute arbitration agreement against any person who has initiated in court a putative class action, who is a member of a putative class who has not opted out of the class with respect to any claims encompassed by the putative class action until, (1) the class certification is denied, (11) the class is decertified or Any controversy between you and Pershing LLC shall be submitted to arbitration before the Financial Industry Regulatory Authority. No person shall bring a putative or certified class (iii) the client is excluded from the class by the court. Such forbearance to enforce an agreement to arbitrate shall not constitute a waiver of any rights under this agreement except to the extent stated herein. The laws of the State of New York govern.

Pershing's contact information is as follows: Pershing LLC, Legal Department, One Pershing Plaza, Jersey City, New Jersey 07399; (201) 413-3330





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### Attachment 4



CHARLES J FLEISCHMANN BRENDA M FLEISCHMANN JT TEN 8714 RAMBLING ROSE DR OOLTEWAH TN 37363-7118

Your Financial Advisor Is: WARD PETTY

(423) 668-5411

Account Number: ETF-005005 December 1, 2018 - December 31, 2018

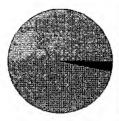
### Portfolio at a Glance:

	This Period	Year-to-Date
BEGINNING ACCOUNT VALUE	\$106,179.17	\$107,931.37
Dividends, Interest and Other Income	497.45	2,151.83
Net Change in Portfolio <sup>1</sup>	-7,706.49	-11,113.07
NDING ACCOUNT VALUE OF THE STATE OF THE STAT	\$98,970,13	\$98,970.13
Estimated Annual Income	\$2,118.67	

beginning account value after activity. Net Change in Portfolio is the difference between the ending account value and

The Bank Deposits in your account are FDIC insured bank deposits.
FDIC insured bank deposits are not securities and are not covered by the Securities Investor Protection Corporation (SIPC). These bank deposits are covered by the Federal Deposit Insurance Corporation (FDIC), up to allowable limits.

### Asset Summary



	B				
	100%	97%	3%	Percent	
Please review your allocation periodically with your Financial Advisor.	Account Total (Pie Chart)	Exchange-Traded Products	Cash, Money Funds, and Bank Deposits	Asset Type	
	\$107,931.37	105,462.66	2,468.71	Prior Year-End	
	\$106,179.17	103,946.48	2,232.69	Last Period	
	\$98,970.13	96,239.99	2,730.14	This Period	





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### Additional Information

Securities Bought and Sold	Description
\$0.00	This Period
\$1,890.40	Year-to-Date

## Summary of Gains and Losses

	Realized This Period	Realized This Period Realized Year-to-Date	Unrealized
Short-Term Gain/Loss	0.00	-587.46	-6,115.23
Long-Term Gain/Loss	0.00		-880.33
Net Gain/Loss	0.00	7,038.40	-6,995.56

This summary excludes transactions where cost basis information is not available.

### For Your Information

## Electronic Delivery of Tax Documents

Electronic delivery of account communications can make managing your financial information easier-and tax documents are no exception. With anywhere, anytime access and the ability to download, then e-mail tax documents to your accountant, e-delivery is the convenient way to approach tax season! Enroll today- and if you're enrolled for account statements, but not tax documents, simply click the "Go Paperless" icon when you log in

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prospectus, by clicking on the Go Paperless button when you log in. If you do not have on-line access, please contact your financial advisor and the process can be expedited for you. If you currently have online access to your accounts through NetXInvestor, you can sign up for e-delivery of your statements and confirms, as well as Mutual Fund, ETF and UIT

This convenient e-delivery service is available even it you don't desire access to daily positions, values, balances and quotes. Contact your financial advisor and we can set up e-delivery

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## **Client Service Information**

Your Financial Advisor Is; C90	Contact Information
WARD PETTY	Telephone Number: (423) 668-5411
1101 BROAD STREET, SUITE 105	Fax Number: (423) 668-5412

## Your Account Information

CHATTANOOGA TN 37402-2943

INVESTMENT OBJECTIVE

Investment Objective: MODERATE GROWTH

Please review your investment objective. If you wish to make a change or have any questions please contact your Financial Advisor.

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Pershing LLC, momber FINRA, NYSE, SIPC





## Your Account Information (continued)

TAX LOT DEFAULT DISPOSITION METHOD

Default Method for Mutual Funds:

Default Method for all Other Securities: Default Method for Stocks in a Dividend Reinvestment Plan:

BOND AMORTIZATION ELECTIONS

Accrual market discount method for all other bond types Amortize premium on taxable bonds based on Constant Yield Method:

First In First Out Yes Constant Yield Method

First In First Out First In First Out

ELECTRONIC DELIVERY

Include market discount in income annually

more information. You have not selected any account communications for electronic delivery. To register and turn off paper communications, log in to your account or contact your Financial Advisor for

## FDIC Insured Bank Deposits

Date	Activity Type	Description	Amount	Balance
Sweep FD	Sweep FDIC Insured Bank Deposits			
INSURED	INSURED DEPOSIT PROGRAM F			
12/01/18	Opening Balance		2,232,69	2,232.69
	Deposit	DEPOSIT	67.92	2,300.61
-	Deposit	INTEREST CREDITED	2.19	2,302.80
		APY 1.15%		
12/17/18		Citibank N.A.		2,302.80
		A/O12/17 \$2302.80		
12/24/18	Deposit	DEPOSIT	256.71	2,559.51
12/26/18	Deposit	DEPOSIT	63.52	2,623.03
12/28/18	Deposit	DEPOSIT	15,49	2,638.52
12/31/18	Deposit	DEPOSIT	18.96	2,657.48
12/31/18	Closing Balance			\$2,657.48
Total FDIC	Total FDIC Insured Bank Deposits			\$2,657.48

The FDIC Insured Bank Deposits are not securities and are not covered by the Securities Investor Protection Corporation (SIPC). The Bank Deposits at each bank are insured by the Federal Deposit Insurance Corporation (FDIC) up to \$250,000 for each category of legal ownership including individual retirement accounts and certain other self directed retirement accounts. Please review this in connection with other deposits you may have at each respective bank.

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### Portfolio Holdings

Opening Date Quantity	Account	Activity Ending	Opening Balance	Closing	Accrued Income	Income This Year	30-Day Yield	Current Yield
ONEY FUNDS, AND	POSITS 3,00% o	Portfolio						
Cash Balance			0.00	72.66				
FDIC Insured Bank Deposits								
INSURED DEPOSIT PROGRAM F								
12/01/18 2,657,480	N/A	12/31/18	2,232.69	2,657.48	1.09	2.19	N/A	N/A
DEUTSCHE BANK INS DEPOSIT E								
12/01/18	N/A	12/31/18	0.00	0.00	0.00	18.64	N/A	N/A
Total FDIC Insured Bank Deposits			\$2,232.69	\$2,657.48	\$1.09	\$20.83		
TOTAL CASH, MONEY FUNDS, AND BANK DEPOSITS	ANK DEPOSITS		\$2,232.69	\$2,730.14	\$1.09	\$20.83		
Date Acquired Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss		Estimated Estimated Annual Income Yield	stimated Yield
E-TRADED PRODU	)0% of Portfolio	***************************************	4. My - v - v - v - v - v - v - v - v - v -	es sy design estatus designations des estatus des estatus de securitarion de parte de estatus de securitarion	\$ 6 5 4 5 6 6 7 7 7 7 7 7 7 7 7 7 7 7 7 7 7 7 7		. ;	
ISHARES GOLD TR ISHARES Dividend Option: Cash; Capital Gains Option: Cash			Security Identifier: IAU CUSIP: 484285105					
Multiple Y Total Covered 276.000	12.7880	3,529.49	12.2900	3,392.04	-137.45			
ISHARES TR S&P 500 GROWTH ETF Dividend Option: Cash; Capital Gains Option: Cash		S	Security identifier: IVW CUSIP: 464287309					
Multiple Y Total Covered 103.000	163.3320	16,823.21	150.6700	15,519.01	-1,304.20		198.29	1.27%
ISHARES TR S&P 500 VALUE ETF Dividend Option: Cash; Capital Gains Option: Cash Multiple Y	119 3540	11.816.07	Security Identifier: IVE CUSIP: 464287408 101 1400	10.012.86	-1.803.21		274.80	2.74%
ISHARES TR S&P MIDCAP 400 GROWTH ETF			Security Identifier: IJK CUSIP: 464287606					
ption: Cash; Capital Gai			1000		65 A 0 A			4 4 3 6
Multiple · lotal Covered 44,000	206.1130	9,068.96	191.2300	8,414.12	604.64		9 <u>0</u> , 10	1. 1.3%
ISHARES TR S&P MIDCAP 400 VALUE ETF Dividend Option: Cash; Capital Gains Option: Cash			Security Identifier: IJJ CUSIP: 464287705					
Multiple Y Total Covered 41.000	133.3650	5,467.97	138,3400	5,671.94	203.97		113.87	2.00%
ISHARES TR US FINANCIALS ETF INDEX			Security Identifier: IYF CUSIP: 464287788					
Dividend Option: Cash; Capital Gains Option: Cash								

Account Number: ETF-005005 8002750205530013













Annual Income \$2,118.67	Interest \$0.00	Gain/Loss -\$6,995.56	Market Value \$98,970.13	PRODUCTION OF THE PROPERTY OF	Cost Basis \$105,965.69		TOTAL PORTFOLIO HOLDINGS
2.	Accrued	აზი,ყყე.ენ Unrealized	\$96,239.89		\$103,235.55	C.	TOTAL EXCHANGE-TRADED PRODUCTS
		SE OOR ES	*00 000 00		9100 005 55	2	61.000
		-570.08	2,965,82	48.6200	3,535.90	57.9660	Dividend Option: Cash; Capital Gains Option: Cash Multiple Y Total Covered
				Security Identifier: VGK CUSIP: 922042874	Secu		VANGUARD INTL EQUITY INDEX FDS FTSE EUROPE ETF
		-156.25	917.60	Security Identifier: XLE CUSIP: 81369Y506 57.3500	Sec 1,073.85	67.1160	SELECT SECTOR SPDR TR ENERGY Dividend Option: Cash, Capital Gains Option: Cash 10/26/17 16.000
		-123.20	1,111.44	Security Identifier: XLB CUSIP: 81369Y100 50.5200	Sect 1,234.64	56.1200	SELECT SECTOR SPDR TR MATLS Dividend Option: Cash; Capital Gains Option; Cash Multiple Y  22.000
		.734.54	6,850.55	26,4500	7,585.09	29.2860	Dividend Option: Cash; Capital Gains Option: Cash Multiple <sup>Y</sup> Total Covered 259.000
				Security Identifier: SPDW CUSIP: 78463X889	Securi		SPDR INDEX SHS FDS SPDR PORT DEVELOPED WORLD EX-US ETF
		0.50	2,694.02	24.9446	2,693.52	24.9400	10/18/18 108.000
				Security Identifier: IBDT CUSIP: 46435U515	Secu		ISHARES TR IBONDS DEC 2028 TERM CORPORATE ETF
		-153.63	2,736.63	23.3900	2,890.26	24.7030	Dwidend Option: Cash; Capital Gains Option: Cash Multiple Y Total Covered 117.000
				Security Identifier: IBDS CUSIP: 46435UAA9	Secu		ISHARES TR IBONDS DEC 2027 TERM CORPORATE ETF
		-72.90	4,872.00	24,3600	4,944,90	24.7250	Multiple Y Total Covered 200.000
							EXCHANGE-TRADED PRODUCTS (continued) ISHARES TR IBONDS DEC 2021 TERM (continued)
Estimated Annual Income		Unrealized Gain/Loss	Market Value	Market Price	Cost Basis	Unit Cost	Date Acquired Quantity







subject to the cost basis reporting rules and may be reported to the IRS on form 1099-B for the applicable tax year in which the securities are disposed 1986, as amended by the Emergency Economic Stabilization Act of 2008, and are marked as "noncovered". Securities marked as "covered", were identified as securities potentially Generally, securities acquired before 2011, in retirement accounts or held by Non-U.S. entities are not subject to the cost basis reporting rules set forth in the Internal Revenue Code of

basis will not be reported to the IRS Note: In the event where we cannot easily determine the taxability of an account, we may mark the account as noncovered. However, if the account does not receive a 1099B, the cost

Y This line is an aggregation of shares in this position, representing shares acquired at different times and/or dates. This summary is a sum of these shares and does not represent cost basis calculated using the average cost accounting method

## Portfolio Holdings Disclosures

THE AS OF PRICE DATE ONLY APPEARS WHEN THE PRICE DATE DOES NOT EQUAL THE STATEMENT DATE. prices, unless otherwise noted, have been obtained from independent vendor services, which we believe to be reliable. Market prices do not constitute a bid or an offer, and may differ from the actual sale price. Securities for which a price is not available are marked "N/A" and are omitted from the Total. This section includes the net market value of the securities in your account on a settlement date basis, including short positions, at the close of the statement period. The market

### Estimated Annual Figures

The estimated annual income (EAI) and estimated annual yield (EAY) figures are estimates and for informational purposes only. These figures are not considered to be a forecast or guarantee of future results. These figures are computed using information from providers believed to be reliable, however, no assurance can be made as to the accuracy. Since interest Accrued interest represents interest earned but not yet received. may be included in the figures for certain securities, thereby overstating them. Refer to www.pershing.com/disclosures for specific details as to formulas used to calculate the figures investment, trading, or tax decisions. These figures assume that the position quantities, interest and dividend rates, and prices remain constant. A capital gain or return of principal and dividend rates are subject to change at any time, and may be affected by current and future economic, political, and business conditions, they should not be relied on for making

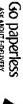
### Reinvestment

agent and receives payment for order flow. including the time of execution and the name of the person from whom your security was purchased, may be obtained. In dividend reinvestment transactions, Pershing acts as your have been reinvested. You will not receive confirmation of these reinvestments. Upon written request to your financial institution, information pertaining to these transactions, The dollar amount of Mutual Fund distributions, Money Market Fund dividend income, Bank Deposit interest income, or dividends for other securities shown on your statement may

### Option Disclosure

financial situation. Expiring options which are valuable are exercised automatically pursuant to the exercise by exception procedure of the Options Clearing Corporation. Additional current background and financial information concerning your option accounts, please promptly advise them in writing of any material change in your investment objectives or Information with respect to commissions and other charges incurred in connection with the execution of option transactions has been included in confirmations previously furnished to you. A summary of this information is available to you promptly upon your written request directed to your introducing firm. In order to assist your introducing firm in maintaining







## Portfolio Holdings Disclosures (continued)

Option Disclosure (continued)

information regarding this procedure is available upon written request to your introducing firm

## Foreign Currency Transactions

identified from customary banking sources on the conversion date or the prior business day, increased by up to 1%, unless a particular rate is required by applicable law. Your financial organization may also increase the currency conversion rate. This conversion rate may differ from rates in effect on the date you executed a transaction, incurred a charge, or received a credit. Transactions converted by agents (such as depositories) will be billed at the rates such agents use Pershing will execute foreign currency transactions as principal for your account. Pershing may automatically convert foreign currency to or from U.S. dollars for dividends and similar corporate action transactions unless you instruct your financial organization otherwise. Pershing's currency conversion rate will not exceed the highest interbank conversion rate

the number of shares in your margin account shares held on margin may be reduced by the amount of shares on loan. The Proxy Voting Instruction Form sent to you may reflect a smaller number of shares entitled to vote than Securities not fully paid for in your margin account may be lent by Pershing to itself or others in accordance with the terms outlined in the Margin Agreement. The right to vote your

# Important Message Regarding Your Portfolio Holdings HARD TO VALUE POSITIONS

because there are multiple ways that "value" may be ascertained by issuers and valuation services, and because the value shown is only a point-in-time assessment, you should not expect that the fair market value for hard-to value assets reflects the amount you would actually receive in the event of a sale. Positions identified on your statements as "hard-to-value" may show a "fair market value" amount for IRS purposes. Because hard-to-value assets are not readily tradeable, and MESSAGE REGARDING ROLLED-UP TAX LOTS

While your tax lots have been rolled up, all of the lots are still maintained. If you would like to receive the details of your tax lots, please contact your financial advisor

Schedule of Realized Gains and Losses Year-to-Date	Gains and I	_osses Yea	ar-to-Date				A-LOS IN INCOMPANION MONEY PROPERTY OF THE PRO	easte en
Description	Date Disposed	Date Acquired	Designation	Disposition Method / Transaction	Quantity	Proceeds	Cost Basis	Realized Gain/Loss
Short Term								
ISHARES GOLD TR ISHA Security Identifier: 464285105	10/18/18	04/19/18	Covered	First in First Out / SELL	9,000	105.81	116.21	-10.40
ISHARES TR IBOXX USD	01/25/18	04/26/17	Covered	First In First Out / SELL	1.000	120.61	118.67	1.94
E CORP BD ETF	01/25/18	07/24/17	Covered	First In First Out / SELL	17.000	2,050.45	2,063.97	-13.52
Security Identifier: 464287242	01/25/18	10/26/17	Covered	First in First Out / SELL	1.000	120,62	120.63	-0.01
Total	1	THE VERNE SERVED ENGINEERS WAS THE VERNE SERVED AND	THE TAXABLE PROPERTY OF THE PR		19.000	2,291.68	2,303.27	-11.59
ISHARES TR S&P 500 G	07/20/18	01/25/18	Covered	First In First Out / SELL	5.000	847.25	818.19	29.06
Security Identifier: 464287309	10/18/18	01/25/18	Covered	First In First Out / SELL	3.000	498.68	490.92	7.76
Total		THE REAL PROPERTY OF THE PROPE			8.000	1,345.93	1,309.11	36.82





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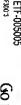


CONTRACTOR	Date	Date	Date Date					Realized
Description	Disposed	Acquired	Designation	Disposition Method / Transaction	Quantity	Proceeds	Cost Basis	Gain/Loss
Short Term (continued)								
ISHARES TR S&P 500 V	10/18/18	01/25/18	Covered	First In First Out / SELL	4.000	446.64	480.29	-33.65
Security Identifier: 464287408								
ISHARES TR BARCLAYS AS BD ETF	10/18/18	01/25/18	Covered	First In First Out / SELL	25.000	2,854.69	3,099.91	-245.22
Security Identifier: 464287432								
ISHARES TR BARCLAYS	01/25/18	04/26/17	Covered	First In First Out / SELL	1.000	104.02	106.29	-2.27
EAS BD ETF	01/25/18	07/24/17	Covered	First In First Out / SELL	19.000	1,976.44	2,034.81	-58.37
Security Identifier: 464287440	01/25/18	10/26/17	Covered	First In First Out / SELL	2.000	208.05	211.26	-3.21
Total	, , , , , , , , , , , , , , , , , , ,		e se se se e deserva deserva de se estado de se debido debido de estado debido debido de estado debido debido debido de estado debido de		22.000	2,288.51	2,352.36	63.85
ISHARES TR S&P MIDCA	04/19/18	04/26/17	Covered	First In First Out / SELL	2,000	442.10	389.48	52.62
Security Identifier: 464287606								
ISHARES TR DOW JONES	01/25/18	04/26/17	Covered	First In First Out / SELL	8.000	1,386.67	1,098.55	288.12
SHARES U.S. TECHNOL F	04/19/18	04/26/17	Covered	First In First Out / SELL	7.000	1,208.10	961.24	246.86
Security Identifier: 464287721	04/19/18	10/26/17	Covered	First In First Out / SELL	1.000	172.59	155.54	17.05
Total			***************************************		16.000	2,767.36	2,215.33	552.03
ISHARES TR S&P SMALL	01/25/18	07/24/17	Covered	First In First Out / SELL	9.000	1,421.27	1,275.12	146.15
ALUE ETF Security Identifier: 464287879	07/20/18	07/24/17	Covered	First In First Out / SELL	2.000	337.68	283.36	54.32
Total	Andreader Interference of the State (SEE TRAINING		***************************************	estat populati estat por esta estat est	11.000	1,758,95	1,558.48	200.47
ISHARES TR S&P SMALL ROWTH ETF	07/20/18	07/24/17	Covered	First In First Out / SELL	5.000	993.77	791.15	202.62
Security Identifier: 464287887								
ISHARES TR MSCI ACWI	01/25/18	07/24/17	Covered	First In First Out / SELL	3.000	159.75	140.55	19.20
Security Identifier: 464288240	10/18/18	04/19/18	Covered	First In First Out / SELL	3.000	132.98	151.66	-18.68
	10/18/18	07/20/18	Covered	First In First Out / SELL	9.000	398.92	431.81	-32.89
Total					15 000	891 85	724.02	.30 37



# Schedule of Realized Gains and Losses Year-to-Date (continued)

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Description	Disposed	Acquired	Designation	Disposition Method / Transaction	Quantity	Proceeds	Cost Basis	Gain/Loss
Short Term (continued)					a da sa alabahkasi sa Mahasiman an sa sapi in sabi pagagagagagaga			
ISHARES TR IBOXX \$ H	04/19/18	04/26/17	Covered	First In First Out / SELL	1.000	86.00	88.17	-2.17
CORP BD ETF	04/19/18	07/24/17	Covered	First In First Out / SELL	1.000	86,00	88.68	-2,68
Security Identifier: 464288513	04/19/18	10/26/17	Covered	First In First Out / SELL	1.000	86.00	88.41	-2.41
	04/19/18	01/25/18	Covered	First In First Out / SELL	2.000	172.02	175.46	-3.44
Total		***************************************	***************************************		5,000	430,02	440.72	-10.70
ISHARES TR MBS ETF	10/18/18	10/26/17	Covered	First In First Out / SELL	1,000	102.36	106.56	-4.20
Security Identifier: 464288588	10/18/18	01/25/18	Covered	First In First Out / SELL	3,000	307.07	317.35	-10.28
Total	:	:			4.000	409.43	423.91	-14.48
ISHARES TR 1-3 YR CR	01/25/18	07/24/17	Covered	First In First Out / SELL	10.000	1,043.71	1,054.69	-10.98
Security Identifier: 464288646								
ISHARES INC CORE MSC	10/18/18	04/19/18	Covered	First In First Out / SELL	94.000	4,459.49	5,444.17	.984.68
MKTS ETF Security Identifier: 46434G103	10/18/18	07/20/18	Covered	First In First Out / SELL	12.000	569.30	637.17	-67.87
Total			a and should be the above before the state of the state o		106.000	5,028.79	6,081.34	-1,052.55
ISHARES TR IBONDS DE	04/19/18	01/25/18	Covered	First In First Out / SELL	3.000	73.10	74.19	-1.09
M CORPORATE ETF FD Security Identifier: 46434VBK5	10/18/18	01/25/18	Covered	First In First Out / SELL	5.000	121,25	123.65	-2.40
Total					8.000	194 35	197.84	-3.49
SPDR SER TR BLOOMBER	04/19/18	07/24/17	Covered	First In First Out / SELL	3.000	108.15	111.92	-3.77
HIGH YIELD BD ETF	04/19/18	10/26/17	Covered	First In First Out / SELL	2.000	72.10	74.40	-2.30
Security Identifier: 78464A417	04/19/18	01/25/18	Covered	First In First Out / SELL	6,000	216.29	221.46	-5.17
Total					11.000	396.54	407.78	-11.24
SPDR SER TR BLOOMBER	01/25/18	07/24/17	Covered	First In First Out / SELL	51.000	3,010.81	3,069.18	-58.37
INTER TERM TREAS ETF Security Identifier: 78464A672	01/25/18	10/26/17	Covered	First In First Out / SELL	1.000	59.04	59.74	-0.70
Total		:			52.000	3,069.85	3,128.92	-59.07
VANGUARD INTL EQUITY	01/25/18	07/24/17	Covered	First In First Out / SELL	8.000	403,44	341.43	62.01
FTSE EMERGING MKTS ETF	10/18/18	04/19/18	Covered	First In First Out / SELL	6.000	226.42	279.94	-53.52
Security Identifier: 922042858	10/18/18	07/20/18	Covered	First In First Out / SELL	14.000	528.33	600.54	-72.21
Total					28.000	1,158.19	1,221.91	-63.72
VANGUARD INTL EQUITY	01/25/18	10/26/17	Covered	First In First Out / SELL	1.000	63.01	58.21	4.80
Security Identifier: 922042874								











Schedule of Realized Gains and Losses Year-to-Date (continued)	ains and L	osses Yea	r-to-Date (conti	nued)				
Description	Date Disposed	Date Acquired	Designation	Disposition Method / Transaction	Quantity	Proceeds	Cost Basis	Realized Gain/Loss
Short Term (continued)			en an e in andre delle, el est bestellte de ante infiniteirante					
VANGUARD SCOTTSDALE	07/20/18	10/26/17	Covered	First In First Out / SELL	1.000	88.27	93,67	-5.40
RD LONG-TERM CORPORATE BOND IN	07/20/18	01/25/18	Covered	First In First Out / SELL	1,000	88.27	95.07	-6.80
DEX FUND Security Identifier, 92206C813	07/20/18	04/19/18	Covered	First In First Out / SELL	1.000	88.27	89.58	-131
Total		:	· · · · · · · · · · · · · · · · · · ·		3.000	264.81	278.32	-13.51
Total Short Term						28,045.79	28,633.25	-587,46
Long Term								
ISHARES TR IBOXX USD E CORP BD ETF	01/25/18	10/19/16	Covered	First In First Out / SELL	30.000	3,618,45	3,673.17	-54.72
Security Identifier: 464287242								
ISHARES TR BARCLAYS EAS BD ETF	01/25/18	10/19/16	Covered	First In First Out / SELL	27.000	2,808.62	2,989.22	-180.60
Security Identifier: 464287440								
ISHARES TR S&P MIDCA	04/19/18	10/22/14	Covered	First In First Out / SELL	9.000	1,989.44	1,357.49	631.95
THETF	04/19/18	10/21/15	Covered	First In First Out / SELL	2.000	442.10	326.52	115.58
Security Identifier: 464287606	04/19/18	01/21/16	Covered	First In First Out / SELL	2.000	442.10	295.36	146.74
Total					13.000	2,873.64	1,979.37	894.27
ISHARES TR S&P MIDCA	01/25/18	01/03/14	Covered	First In First Out / SELL	5.000	822.03	577.30	244,73
EETF	01/25/18	04/22/14	Covered	First In First Out / SELL	5.000	822.02	602,03	219.99
Security Identifier: 464287705	04/19/18	04/22/14	Covered	First In First Out / SELL	8.000	1,262.23	963.26	298.97
	04/19/18	10/22/14	Covered	First In First Out / SELL	5.000	788.90	605,69	183.21
	07/20/18	10/22/14	Covered	First In First Out / SELL	1.000	165.81	121.14	44.67
Total					24.000	3,860.99	2,869,42	991.57
ISHARES TR DOW JONES	01/25/18	04/22/14	Covered	First In First Out / SELL	11.000	1,906.68	994.72	911.96
SHARES U.S. TECHNOL F	01/25/18	04/22/15	Covered	First In First Out / SELL	5.000	866.67	535.34	331.33
Security Identifier: 464287721	01/25/18	10/21/15	Covered	First In First Out / SELL	5.000	866.67	524.88	341.79
	01/25/18	07/20/16	Covered	First In First Out / SELL	6.000	1,040.01	669,96	370.05
	01/25/18	01/09/17	Covered	First In First Out / SELL	4,000	693.34	494.48	198.86
Total					34 000	£0.050 J	00000	2 462 00

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# Schedule of Realized Gains and Losses Year-to-Date (continued)

Description	· · · · · · · · · · · · · · · · · · ·	20020	3 464 36	28 000	ARVIN CHICAGO COMO CONTRACTORISTA (ANTONOMICA) (ANTONOMIC	***************************************	· ····································		THE COLUMN TWO COURTS OF STORE . S. S. STORE . S. S. STORE . S. S. STORE .
Continued   Colored   Co	48	1,649.39	1,698.13	22.000	First In First Out / SELL	Covered	01/09/17	01/25/18	Security Identifier: 81369Y506
Disposed   Disposed   Disposed   Disposition   Dispositi	49	413.22	463.13	6.000	First In First Out / SELL	Covered	07/20/16	01/25/18	SELECT SECTOR SPDR T
Continue   Disposet   Disposition   Dispos	1.306	3,108.73	4,415.63	41.000					Total
Trick   Continued   Disposition   Disposit	363.	1,251.57	1,615.48	15.000	First In First Out / SELL	Covered	01/09/17	01/25/18	
Tricontinued   Disposed   Disposition   Di	105	325.00	430.79	4.000	First In First Out / SELL	Covered	07/20/16	01/25/18	
Transcription	32	72.85	107.70	1.000	First In First Out / SELL	Covered	01/21/16	01/25/18	
Disposed Acquired   Disposed Acquired   Disposed   Acquired   Disposed   Acquired   Disposed   Acquired   Disposed   Acquired   Disposed   Acquired   Disposed   Acquired   Disposed   Acquired   Disposed   Acquired   Disposed   Di	116.	314.39	430.79	4.000	First In First Out / SELL	Covered	10/21/15	01/25/18	Security Identifier: 8/369Y407
Disposed	126.	304.11	430.79	4.000	First In First Out / SELL	Covered	04/22/15	01/25/18	DISCRETIONARY
Transcription	559	840.81	1,400.08	13.000	First In First Out / SELL	Covered	04/22/14	01/25/18	SELECT SECTOR SPDR T
Transport   Continued   Cont									Security Identifier: 8/369Y308
Continued   Disposed   Continued   Disposition   Disposition Method / Transaction   Quantity   Proceed   Proceed   Proceed   Proceed   Proceed   Proceed   Proceed   Proceded    134.	1,033.60	1,167.66	20.000	First In First Out / SELL	Covered	01/09/17	01/25/18	SELECT SECTOR SPDR T	
Disposit	1,268.	4,815.89	6,084.09	68.000					Total
Continued   Disposed   Acquired   Designation   Disposition Method / Transaction   Quantity   Proceeds   Cost Basis   Transaction   Quantity   Proceeds   Cost Basis   Transaction   Quantity   Proceeds   Cost Basis   Cost Bas	572.	2,201.00	2,773.62	31.000	First In First Out / SELL	Covered	01/09/17	01/25/18	
m (continued)         Disposed         Acquired         Designation         Disposition Method / Transaction         Quantity         Proceeds         Cost Basis           VUS FINANC         01/25/18         01/09/17         Covered         Flist In First Out / SELL         29,000         3,634.11         2,978.06           VUS FINANC         10/18/18         01/09/17         Covered         Flist In First Out / SELL         29,000         3,634.11         2,978.06           VUS FINANC         10/18/18         01/19/17         Covered         Flist In First Out / SELL         27,000         4,654.13         4,919.24           VUS FINANC         04/19/18         01/09/17         Covered         Flist In First Out / SELL         27,000         2,322.10         2,355.48           Printing First Out / SELL         10/19/18         01/09/17         Covered         Flist In First Out / SELL         27,000         2,763.65         2,879.27           VUS FINANC         10/18/18         01/09/17         Covered         Flist In First Out / SELL         27,000         2,763.65         2,879.27           VUS FINANC         10/18/18         01/09/17         Covered         Flist In First Out / SELL         28,000         2,366.01         2,985.94           VUS FINANC         10/18/18	270.	982.05	1,252.61	14.000	First In First Out / SELL	Covered	10/19/16	01/25/18	
m (continued)         Disposed Legimed         Designation         Disposition Method / Transaction         Quantity         Proceeds         Cost Basis           RUS FINANC         01/25/18         01/09/17         Covered         First in First Out / SELL         29 000         3,634.11         2,978.06           RMSCJ ACWI Intrier. 464288240 RIGHEY ALVANIA         10/18/18         07/24/17         Covered         First in First Out / SELL         105.000         4,654.13         4,919.24           RIBOX \$ H         04/19/18         01/09/17         Covered         First in First Out / SELL         27.000         2,322.10         2,355.48           Intrier. 464288503 Intrier. 464288580 Intrier. 4	148.	746.37	894.72	10,000	First In First Out / SELL	Covered	07/20/16	01/25/18	Security Identifier: 81369Y209
Continued   Cont	146.	568.88	715.78	8.000	First In First Out / SELL	Covered	04/20/16	01/25/18	ARE
Disposed   Acquired   Disposed Nation   Disposition   Disposition   Method / Transaction   Quantity   Proceeds   Cost Basis	129.	317.59	447.36	5.000	First In First Out / SELL	Covered	10/22/14	01/25/18	SELECT SECTOR SPDR T
Disposed   Disposed   Acquired   Designation   Disposition   Method / Transaction   Quantity   Proceeds   Cost Basis   Transaction   Quantity   Proceeds   Cost Basis   Quantity   Proceeds   Quantity   Proceeds   Quantity   Proceeds   Quantity   Quantity   Proceeds   Quantity   Quantity   Quantity   Quantity   Proceeds   Quantity   Quanti				•					Security Identifier: 8/369Y100
Disposed   Aqquired   Designation   Disposition Method / Transaction   Quantity   Proceeds   Cost Basis   Transaction   Quantity   Proceeds   Cost Basis   QUS Financian   Quantity   Proceeds   Quantity   Proceeds   Quantity   Proceeds   Quantity   Quantity   Quantity   Proceeds   Quantity   Quan	197	566 13	763.82	12 000	First In First Out / SFI !	Covered	10/19/16	01/25/18	SELECT SECTOR SPORT
Disposed   Acquired   Designation   Disposition Method / Transaction   Quentity   Proceeds   Cost Basis	į	£,565,66		00,000	LIIST HE LIIST ONLY SELF	Covered	01/09/17	04/18/10	HIGH YIELD BD ETF Security Identifier: 78464A417
Disposed   Acquired   Disposed   Acquired   Disposition Method / Transaction   Quantity   Proceeds   Cost Basis	. A. C	2,000.04	23/318	65 000	First In First Out / OFF		04/00/47	04/40/40	SED SEE TO BE COMBED
Disposed   Acquired   Designation   Disposition Method / Transaction   Quantity   Proceeds   Cost Basis   Transaction   Quantity   Proceeds   Cost Basis   Transaction   Quantity   Proceeds   Cost Basis   Cost Basis   Transaction   Quantity   Proceeds   Cost Basis   Cost Basis   Cost Basis   Transaction   Quantity   Proceeds   Cost Basis   Cost Basis   Cost Basis   Transaction   Disposition Method / Transaction   Quantity   Proceeds   Cost Basis   Cost Ba	.110	2 085 04	2 888 01	28 000	· · · · · · · · · · · · · · · · · · ·	. 4	***************************************		T0+6-
Disposed   Acquired   Disposed   Acquired   Designation   Disposition Method / Transaction   Quantity   Proceeds   Cost Basis   Transaction   Quantity   Proceeds   Cost Basis   Transaction   Quantity   Proceeds   Cost Basis   Cost Basis   Transaction   Quantity   Proceeds   Cost Basis   Cost Basis   Cost Basis   Transaction   Quantity   Proceeds   Cost Basis   Cost	4	106.67	102.36	1.000	First In First Out / SELL	Covered	04/26/17	10/18/18	Security Identifier: 464288588
Disposed   Acquired   Designation   Disposition Method / Transaction   Quantity   Proceeds   Cost Basis   Transaction   Quantity   Proceeds   Cost Basis   Transaction   Quantity   Proceeds   Cost Basis   Cost Basis   Transaction   Quantity   Proceeds   Cost Basis   Cost Basis   Cost Basis   Cost Basis   Transaction   Quantity   Proceeds   Cost Basis	-115	2,879.27	2,763,65	27.000	First In First Out / SELL	Covered	01/09/17	10/18/18	ISHARES TR MBS ETF
Disposed   Acquired   Designation   Disposition Method / Transaction   Quantity   Proceeds   Cost Basis   Proceeds   Cost Basis   Proceeds   Cost Basis   Proceeds   Cost Basis   Proceeds   Proceed									CORP BD ETF Security Identifier: 464288513
Disposed   Acquired   Designation   Disposition Method / Transaction   Quantity   Proceeds   Cost Basis   Proceeds   Cost Basis   Proceeds   Cost Basis   Proceeds    -33.	2,355,48	2,322.10	27.000	First In First Out / SELL	Covered	01/09/17	04/19/18	ISHARES TR IBOXX \$ H	
Disposed Acquired Designation   Disposition Method / Transaction   Quantity   Proceeds   Cost Basis   Quantity   Quantity   Quantity   Proceeds   Cost Basis   Quantity   Quantity   Proceeds   Cost Basis   Quantity   Q	i d	i				2	01127110	9	Security Identifier: 464288240
Disposed Acquired Designation Disposition Method / Transaction Quantity Proceeds Cost Basis (continued) (US FINANC 01/25/18 01/09/17 Covered First In First Out / SELL 29.000 3,634.11 2,978.06	.265	4 919 24	4 654 13	105 000	First In First Out / SELI	Covered	07/24/17	10/18/18	ISHARES TRIMEDI ACMI
Disposed Acquired Designation Disposition Method / Transaction Quantity Proceeds Cost Basis (m) (continued)  RUS FINANC 01/25/18 01/09/17 Covered First In First Out / SELL 29.000 3,634.11 2,978.06									NDEX FD Security Identifier: 464287788
Disposed Acquired Designation Disposition Method / Transaction Quantity Proceeds Cost Basis	656	2,978.06	3,634.11	29.000	First In First Out / SELL	Covered	01/09/17	01/25/18	Long Term (continued) ISHARES TR US FINANC
	Gain/L	Cost Basis	Proceeds	Quantity	Disposition Method / Transaction	Designation	Acquired	Disposed	Description







Date	Date						Realized
Description Disposed	Acquired	Designation	Disposition Method / Transaction	Quantity	Proceeds	Cost Basis	Gain/Loss
Long Term (continued)							
SELECT SECTOR SPORT 01/25/18	04/22/14	Covered	First In First Out / SELL	6,000	477.38	318.83	158.55
Security Identifier: 81369Y704 01/25/18	04/22/15	Covered	First In First Out / SELL	1.000	79.56	56.33	23.23
01/25/18	10/21/15	Covered	First In First Out / SELL	2.000	159.13	106.19	52.94
01/25/18	07/20/16	Covered	First In First Out / SELL	8.000	636.51	471.28	165.23
01/25/18	10/19/16	Covered	First In First Out / SELL	10.000	795.64	574.97	220.67
01/25/18	01/09/17	Covered	First In First Out / SELL	32.000	2,546.04	2,012.48	533.56
Total		The second secon		59,000	4,694.26	3,540.08	1,154 18
VANGUARD INTL EQUITY 10/18/18 FTSE EMERGING MKTS ETF SCOUNTY Markfar 022043858	07/24/17	Covered	First In First Out / SELL	111.000	4,188.83	4,737.36	-548.53
VANGUARD SCOTTSDALE 07/20/18	04/22/15	Covered	First in First Out / SELL	3.000	264.82	281.25	-16.43
RD LONG-TERM CORPORATE BOND IN 07/20/18	07/15/15	Covered	First In First Out / SELL	6.000	529.64	509.92	19.72
DEX FUND 07/20/18	10/21/15	Covered	First In First Out / SELL	15.000	1,324.09	1,306.71	17.38
Security Identifier: 92206C813 07/20/18	04/26/17	Covered	First in First Out / SELL	1.000	88.27	90.47	-2.20
) AN WALLANDERSON MARKET WAS A WAR WAS A FAR OF A FAR WAS A WAR WAN WAS A WAR WAN WAN WAN WAN WAN WAN WAN	***************************************			25.000	2,206.82	2,188.35	18.47
Total					60,036.97	52,411.11	7,625.86

basis reporting rules and may be reported to the IRS on form 1099-B for the applicable tax year in which the securities are disposed armended by the Emergency Economic Stabilization Act of 2008, and are marked as "noncovered". Securities marked as "covered", were identified as securities potentially subject to the cost Generally, securities acquired before 2011, in retirement accounts or held by Non-U.S. entities are not subject to the cost basis reporting rules set forth in the Internal Revenue Code of 1986, as

will not be reported to the IRS Note: In the event where we cannot easily determine the taxability of an account, we may mark the account as noncovered. However, if the account does not receive a 10998, the cost basis

information and cost basis information, as it relates to corporate actions, has been obtained from sources we believe to be reliable. income received and subsequently reclassified by the issuer as a return of capital. In addition, corporate action events may require adjustments to your original cost basis. Return of capital This Schedule may not reflect all cost basis adjustments necessary for tax reporting purposes, especially for noncovered securities. Adjustments to cost basis may have been made for prior

you. differences in cost basis reflected on your monthly client brokerage statement at year end versus any subsequent reports, including your 1099-B or online displays you may have available to Adjustments to cost basis can be made after year-end, in particular, for return of capital adjustments, but may also include adjustments for corporate action events. Therefore there may be



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# Schedule of Realized Gains and Losses Year-to-Date (continued)

any and all liability that may arise with respect to your use and reliance on the information provided herein for such reporting. When you report your cost basis on your tax return, it should be verified using all of your own records. In particular, there may be other adjustments which you need to make, but are not required to be made by Pershing as it relates to H.R. 1424. You should consult with your tax advisor in order to properly report your gain or loss for tax purposes. Pershing shall not be responsible for and makes no representations or warranties with respect to the accuracy of any information that you report to the IRS or other taxing authorities, and, accordingly, disclaims

Please refer to the Your Account Information Section in your brokerage account statement for your account's existing tax-lot disposition method. The disposition method is the method which you have selected to use in the disposal of each tax lot of the securities held in your account. If you do not select a method, your account will be defaulted to First In, First Out (FIFO). Your account's selected tax lot method will be used to determine the cost basis for calculating gain and / or loss, unless another method was selected at the time of the security disposal, and this may be reported on the IRS Form 1099-B.

# Activity Summary (All amounts shown are in base currency)

	Credits This Period 0.00 0.00 \$0.00	Debits This Period 0.00 0.00 \$0.00	Net This Period 0.00 0.00 0.00 \$0.00	Credits Year-to-Date 0.00 88,082.76 \$88,082.76	Debits Year-to-Date -89,973.16 -\$89,973.16	Net Year-to-Date 89,973 16 88,082.76 -\$1,890.40
Dividends and Interest	\$497.45	\$0.00	\$497.45	\$2,151.83	\$0.00	\$2,15183
FDIC Insured Bank Deposits	\$0.00	-\$424.79	-\$424.79		-\$4,321.06	-\$197.97
Totals	\$497.45	-\$424.79	\$72.66	\$94,357.68	-\$94,294.22	\$63.46

## Transactions in Date Sequence

Settlement Transaction Date Date	tion Activity Type	Description	Quantity	Price	Amount Currency	Currency
12/07/18	CASH DIVIDEND RECEIVED	20 SHRS ISHARES TR 10-20 YR TREAS 8D ETF RD 12/04 PD 12/07/18			5.19	USD
12/07/18	CASH DIVIDEND RECEIVED	6) SHRS ISHARES TR LONG-TERM CORP BD ETF RD 12/04 PD 12/07/18			13.30	USD
12/07/18	CASH DIVIDEND RECEIVED	113 SHRS ISHARES IBONDS DEC 2023 TERM CORPORATE ETF RD 12/04 PD 12/07/18			7.39	USD
12/07/18	CASH DIVIDEND RECEIVED IBDQ	1/4 SHRS ISHARES IBONDS DEC 2025 CORPORATE ETF RD 12/04 PD 12/07/18			8.11	USD
12/07/18	CASH DIVIDEND RECEIVED	200 SHRS ISHARES TR IBONDS DEC 2021 TERM CORPORATE ETF FD RD 12/04 PD 12/07/18			11.20	USD
12/07/18	CASH DIVIDEND RECEIVED	117 SHRS ISHARES TR IBONDS DEC 2027 TERM CORPORATE ETF RD 12/04 PD 12/07/18			8.74	USD
12/07/18	CASH DIVIDEND RECEIVED IBDT	108 SHRS ISHARES TR IBONDS DEC 2028 TERM CORPORATE ETF RD 12/04 PD 12/07/18			13,99	USD



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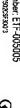


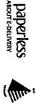


# Transactions in Date Sequence (continued)

12/24/18	12/24/18	12/24/18	12/24/18	12/21/18	12/21/18	12/21/18	12/21/18	12/21/18	12/21/18	12/21/18	12/17/18	12/17/18	12/10/18	Date	Process/ Settlement
											12/14/18	12/14/18		1	Trade/ Transaction
CASH DIVIDEND RECEIVED (BDO	CASH DIVIDEND RECEIVED	CASH DIVIDEND RECEIVED TLH	FDIC INSURED BANK DEPOSIT USD999997	CASH DIVIDEND RECEIVED	CASH DIVIDEND RECEIVED US	CASH DIVIDEND RECEIVED	CASH DIVIDEND RECEIVED	CASH DIVIDEND RECEIVED	CASH DIVIDEND RECEIVED IVE	CASH DIVIDEND RECEIVED IVW	FDIC INSURED BANK DEPOSITS INTEREST RECEIVED PER987762	FDIC INSURED BANK DEPOSITS INTEREST REINVESTED PER987762	FDIC INSURED BANK DEPOSIT USD999997	Activity Type	
13 SHRS ISHARES IBONDS DEC 2023 TERM CORPORATE ETF RD 12/19 PD 12/24/18	61 SHRS ISHARES TR LONG-TERM CORP BD ETF RD 12/19 PD 12/24/18	20 SHRS ISHARES TR 10-20 YR TREAS BD ETF RD 12/19 PD 12/24/18	INSURED DEPOSIT PROGRAM F	69 SHRS ISHARES TR S&P SMALL-CAP 600 GROWTH ETF RD 12/18 PD 12/21/18	55 SHRS ISHARES TR S&P SMALL-CAP 600 VALUE ETF RD 12/18 PD 12/21/18	11 SHRS ISHARES TR US FINANCIALS ETF INDEX FD RD 12/18 PD 12/21/18	41 SHRS ISHARES TR S&P MIDCAP 400 VALUE ETF RD 12/18 PD 12/21/18	44 SHRS ISHARES TR S&P MIDCAP 400 GROWTH ETF RD 12/18 PD 12/21/18	99 SHRS ISHARES TR S&P 500 VALUE ETF RD 12/18 PD 12/21/18	103 SHRS ISHARES TR S&P 500 GROWTH ETF RD 12/18 PD 12/21/18	INSURED DEPOSIT INTEREST CREDITED	INSURED DEPOSIT INTEREST REINVESTED	INSURED DEPOSIT PROGRAM F	Description	
														Quantity	
														Price	
														Accrued interest	
6.54	13.80	4.87	-256.71	37.21	35.13	6.11	30.04	22.98	73.11	52.13	2.19	-2.19	-67.92	Amount	
USD	USD	OSD	OSD	USD	asu	USD	OSD	USD	USD	USD	USD	USD		Amount Currency	

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# Transactions in Date Sequence (continued)

Process/ Trade/ Settlement Transaction Date Date	ion Activity Type	Description	Quantity	Price	Accrued Interest	Amount Currency	Currency
12/24/18	CASH DIVIDEND RECEIVED 18DQ	114 SHRS ISHARES IBONDS DEC 2025 CORPORATE ETF RD 12/19 PD 12/24/18	ост данной, так доставанно оставанно			7.85 USD	USD
12/24/18	CASH DIVIDEND RECEIVED IBDM	200 SHRS ISHARES TR IBONDS DEC 2021 TERM CORPORATE ETF FD RD 12/19 PD 12/24/18				9,80	USD
12/24/18	CASH DIVIDEND RECEIVED IBDS	117 SHRS ISHARES TR IBONDS DEC 2027 TERM CORPORATE ETF RD 12/19 PD 12/24/18				8.07	OSD
12/24/18	CASH DIVIDENO RECEIVED IBDT	108 SHRS ISHARES TR IBONDS DEC 2028 TERM CORPORATE ETF RD 12/19 PD 12/24/18				12.59	USD
12/26/18	FDIC INSURED BANK DEPOSIT USD999997	INSURED DEPOSIT PROGRAM F				-63.52	USD
12/27/18	CASH DIVIDENO RECEIVED XLB	22 SHRS SELECT SECTOR SPDR TR MATLS RD 12/24 PD 12/27/18				7.01	USD
12/27/18	CASH DIVIDEND RECEIVED XLE	16 SHRS SELECT SECTOR SPDR TR ENERGY RD 12/24 PD 12/27/18				8.48	USD
12/28/18	FDIC INSURED BANK DEPOSIT USD999997	INSURED DEPOSIT PROGRAM F				-15.49	USD
12/28/18	CASH DIVIDEND RECEIVED VGK	61 SHRS VANGUARD INTL EQUITY INDEX FDS FTSE EUROPE ETF RD 12/26 PD 12/28/18				18.96	USD
12/31/18	FDIC INSURED BANK DEPOSIT USD999997	INSURED DEPOSIT PROGRAM F				-18.96	USD
12/31/18	CASH DIVIDEND RECEIVED SPDW	259 SHRS SPDR INDEX SHS FDS SPDR PORT DEVELOPED WORLD EX-US ETF RD 12/26 PD 12/31/18					USD
Total Value of Transactions	Transactions				\$0.00	470 AA	- GO

## Income and Expense Summary

Total Dividends, Interest, Income and Expenses	Interest Income FDIC Insured Bank Deposits	Dividend Income Other Dividends	Current Period  Taxable Non Taxable
\$497.45	2.19	495.26	Curren Taxable
\$0.00	0.00	0.00	Current Period  Non Taxable
\$2,151.83	20.83	2,131.00	Year-to-Dat
\$0.00	0,00	0.00	Date Non Taxable











reviewed and finalized. The notice will inform you of the securities that are pending final reporting and provides the anticipated mail date of your 1099. Your 1099 will be mailed no information from issuers and trustees of securities that you hold by the as of date of the February 15 1099 mailing. You will also be sent the notice if your information is still being 2019. By February 15, you will be mailed either your Form 1099 or a special Pending 1099 Notice. The Pending 1099 Notice will be sent if we have not received and processed final Please note the following information for Pershing's 2018 IRS Form 1099 (B, DIV, INT, MISC and OID): Your Form 1099 will be delivered as early as possible, beginning January 31 later than March 15, 2019

Rule  $\{0b-10(b)(1)\}$  confirmations are not sent for purchases into money market mutual funds processed on the sweep platform. account. Please see the money market mutual fund's prospectus or the bank deposit product's disclosure document or contact your advisor for additional information. Pursuant to SEC Although a money market mutual fund seeks to preserve the value of your investment at \$1 per share, it is possible to lose money by investing in a money market mutual fund. Shares of a money market mutual fund or the balance of a bank deposit product held in your brokerage account may be liquidated upon request with the proceeds credited to your brokerage.

MARKET MUTUAL FUND & FDIC-INSURED DEPOSITS PROGRAM RATES & BANK LISTS". PLEASE NOTE THAT WE MAY NOT OFFER ALL OF THE MONEY MARKET FUNDS LISTED MAY VIEW CURRENT MONEY MARKET FUND RATES BY VISITING WWW.PERSHING.COM AND SELECTING THE LINK AT THE BOTTOM OF THE PAGE TITLED "MONEY FEDERAL DEPOSIT INSURANCE CORPORATION (FDIC)-INSURED BANK DEPOSITS ARE NOT PROTECTED BY SECURITIES INVESTOR PROTECTION CORPORATION (SIPC). YOU

## Important Information and Disclosures

- suitability of any transaction or order. Pershing acts as the agent of your financial institution and you agree that you will not hold Pershing or any person controlling or under common control with it liable for any investment losses incurred by you liable for any acts or omissions of your financial institution or its employees and it does not supervise them. Pershing provides no investment advice nor does it assess the Pershing carries your account as clearing broker pursuant to a clearing agreement with your financial institution. Pershing may accept from your financial institution without inquiry or investigation (i) orders for the purchase and sale of securities and other property and (ii) any other instructions concerning your account. Pershing is not responsible or
- Pershing performs several key functions at the direction of your financial institution. It acts as custodian for funds and securities you may deposit with it directly or through your financial institution or that it receives as the result of securities transactions it processes.
- if any, to you and in general, for the ongoing relationship that it has with you. acceptance and, in certain instances, execution of securities orders; the assessment of the suitability of those transactions, where applicable; the rendering of investment advices account, its sales representatives and other personnel. Your financial institution is also responsible for approving the opening of accounts and obtaining account documents, the Your financial institution is responsible for adherence to the securities laws, regulations and rules which apply to it regarding its own operations and the supervision of your
- Inquiries concerning the positions and balances in your account may be directed to the Pershing Customer Service Department at (201) 413-3333. All other inquiries regarding your account or activity should be directed to your financial institution. Your financial organization's contact information can be found on the first page of this statement
- a definitive enumeration of every possible circumstance, but as a general disclosure. If you have any questions regarding this notice or if you would like additional copies of the Disclosure Statement, please contact your financial institution. For a description of other functions performed by Pershing please consult the Disclosure Statement provided to you upon the opening of your account. This notice is not meant as
- Pershing is a member of the Securities Investor Protection Corporation (SIPC®). Please note that SIPC does not protect against loss due to market fluctuation. In addition to SIPC protection, Pershing provides coverage in excess of SIPC limits. For more detailed information please visit: www.pershing.com/about/strength-and-stability
- receipt of this statement, to your financial organization and Pershing. Please be advised that any oral communication should be re-confirmed in writing to further protect your rights, including your rights under the Securities Investor Protection Act. This statement will be deemed conclusive. You are advised to report any inaccuracy or discrepancy (including unauthorized trading) promptly, but no later than ten days after
- Your financial organization's contact information can be found on the first page of this statement. Pershing's contact information is as follows: Pershing LLC, Legal Department,

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# Important Information and Disclosures (continued)

The Role of Pershing (continued)

One Pershing Plaza, Jersey City, New Jersey 07399; (201) 413-3330. Errors and Omissions excepted

## Important Arbitration Disclosures

- All parties to this agreement are giving up the right to sue each other in court, including the right to a trial by jury, except as provided by the rules of the arbitration forum in which
- Arbitration awards are generally final and binding; a party's ability to have a court reverse or modify an arbitration award is very limited.
- The ability of the parties to obtain documents, witness statements and other discovery is generally more limited in arbitration than in court proceedings
- panel at least 20 days prior to the first scheduled hearing date. The arbitrators do not have to explain the reason(s) for their award, unless, in an eligible case, a joint request for an explained decision has been submitted by all parties to the
- The panel of arbitrators will typically include a minority of arbitrators who were or are affiliated with the securities industry.
- The rules of some arbitration forums may impose time limits for bringing a claim in arbitration. In some cases, a claim that is ineligible for arbitration may be brought in court
- The rules of the arbitration forum in which the claim is filed, and any amendments thereto, shall be incorporated into this agreement.

## Important Arbitration Agreement

class who has not opted out of the class with respect to any claims encompassed by the putative class action until; (1) the class certification is denied; (1) the class is decertified or action to arbitration, nor seek to enforce any predispute arbitration agreement against any person who has initiated in court a putative class action, who is a member of a putative Any controversy between you and Pershing LLC shall be submitted to arbitration before the Financial Industry Regulatory Authority. No person shall bring a putative or certified class the extent stated herein. The laws of the State of New York govern. (III) the client is excluded from the class by the court. Such forbearance to enforce an agreement to arbitrate shall not constitute a waiver of any rights under this agreement except to

Pershing's contact information is as follows: Pershing LLC, Legal Department, One Pershing Plaza, Jersey City, New Jersey 07399; (201) 413-3330



Account Number: ETF-005005



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### TERMS AND CONDITIONS

### TRANSACTIONS

- ALL ORDERS AND TRANSACTIONS SHALL BE SOLELY FOR YOUR ACCOUNT AND RISK SHALL BE SUBJECT TO THE CONSTITUTION, RULES, REGULATIONS, CUSTOMS, USAGES, RULINGS AND INTERPRETATIONS OF THE EXCHANGE OR MARKET AND THE CLEARING FACHTY, IF ANY, WHERE THE TRANSACTIONS ARE EXCELLED ANDOR SETTLED, OR IF APPLICABLE, OF THE FINANCIAL INDUSTRY REGULATORY AUTHORITY AND TO ALL APPLICABLE LAWS AND
- TITLE TO SECURITIES SOLD TO YOU, WHERE PERSHING HAS ACTED AS PRINCIPAL, SHALL REMAIN WITH PERSHING UNTIL THE ENTIRE PURCHASE PRICE IS LATER.
- YOU MAY HAVE RECEIVED CONFIRMATIONS FOR TRANSACTIONS WHICH DO NOT APPEAR ON YOUR STATEMENT. IF SO, THE TRANSACTIONS WILL APPEAR ON YOUR REXT PERIODIC STATEMENT, SUCH TRANSACTIONS MUST BE CONSIGERED BY YOU WHEN COMPUTING THE VALUE OF YOUR ACCOUNT. THIS IS ESPECIALLY TRUE IF YOU HAVE WRITTEN OPTIONS WHICH HAVE BEEN EXERCISED.

FREE OREDIT BALANCES: ANY FREE CREDIT BALANCE CARRIED FOR YOUR ACCOUNT REPRESENTS FUNDS PAYABLE UPON DEMAND WHICH, ALTHOUGH PROPERLY ACCOUNTED FOR ON PERSHING'S BOOKS OF RECORD, ARE NOT SEGREGATED AND MAY BE USED IN THE CONDUCT OF ITS BUSINESS.

DEBIT BALANCES: WITEREST CHARGED ON DEBIT BALANCES IN YOUR ACCOUNT APPEARS ON THE STATEMENT. THE RATE OF WITEREST AND PERIOD COVERED ARE INDICATED IT THE RETE MAY CHANGE FROM TIME TO TIME DUE TO FLUCTUATIONS IN MONEY BATES OR OTHER REASONS, INTEREST IS COMPUTED AS DESCRIBED IN MATERIAL PREVIOUSLY FURNISHED TO YOU, PLEASE CONTACT YOUR FINANCIAL INSTITUTION IF YOU DESIRE ADDITIONAL COPIES.

MARGIN INFORMATION: IF YOU MAINTAIN A MARGIN ACCOUNT, THIS IS A COMBINED STATEMENT OF YOUR GENERAL ACCOUNT AND A SPECIAL MEMORAUDUM ACCOUNT MAINTAINED FOR YOU HUNDER REGULATION T OF THE BOARD OF GOVERNORS OF THE FEDERAL RESERVE SYSTEM, THE PERMANENT RECORD OF THE SEPARATE ACCOUNT AS REQUIRED BY REGULATION T IS AVAILABLE FOR YOUR INSPECTION UPON REQUEST.

### TAX INFORMATION

- AFTER YEAR END, PERSHING IS REQUIRED TO PROVIDE YAX INFORMATION TO THE INTERNAL REVIENUE SERVICE AND OTHER GOVERNMENTAL AUTHORITIES. AT THAT IT TIME PERSHING WILL PROVIDE THAT INFORMATION ON THE ANNUAL TAX INFORMATION STATEMENT TO YOU USE THAT IS TATEMENT TO PREPARE YOUR TAX FILINGS. THE TAX STATEMENT ALSO INCLUDES OTHER USEFUL INFORMATION TO ASSIST IN ACCUMULATING THE DATA TO PREPARE YOUR TAX RETURNS.
- DIVIDENDS, INTEREST AND OTHER DISTRIBUTIONS SHOWN ON THIS STATEMENT WERE CLASSIFIED AS TAXABLE OR NONTAXABLE BASED ON CERTAIN INFORMATION KOWN AS OF THE DISTRIBUTION DATE. THIS CLASSIFICATION IS SUBJECT TO CHANGE AND IS SOLELY INTENDED FOR USE AS GENERAL INFORMATION.
- PERSHING DOES NOT PROVIDE TAX, INVESTMENT OR LEGAL ADVISORY SERVICES AND NO ONE ASSOCIATED WITH PERSHING IS AUTHORIZED TO RENDER SUCH ADVICE. DO NOT RELY UPON ANY SUCH ADVICE, IF GIVEN, INVESTORS ARE ENCOURAGED TO CONSULT THEIR TAX ADVISORS TO DETERMINE THE APPROPRIATE TAX TREATMENT OF THEIR TAX ADVISORS TO DETERMINE THE APPROPRIATE TAX TREATMENT OF THEIR TAX ADVISORS TO DETERMINE THE APPROPRIATE TAX TREATMENT OF THEIR TAX ADVISORS TO DETERMINE THE APPROPRIATE TAX TREATMENT OF THEIR TAX ADVISORS TO DETERMINE THE APPROPRIATE TAX TREATMENT OF THEIR TAX ADVISORS TO DETERMINE THE APPROPRIATE TAX TREATMENT OF THEIR TAX ADVISORS TO DETERMINE THE APPROPRIATE TAX TREATMENT OF THEIR TAX ADVISORS TO DETERMINE THE APPROPRIATE TAX TREATMENT OF THEIR TAX ADVISORS TO DETERMINE THE APPROPRIATE TAX TREATMENT OF THEIR TAX ADVISORS TO DETERMINE THE APPROPRIATE TAX TREATMENT OF THEIR TAX ADVISORS TO DETERMINE THE APPROPRIATE TAX TREATMENT OF THEIR TAX ADVISORS TO DETERMINE THE APPROPRIATE TAX TREATMENT OF THEIR TAX ADVISORS TO DETERMINE THE APPROPRIATE TAX TREATMENT OF THEIR TAX ADVISORS TO DETERMINE THE APPROPRIATE TAX TREATMENT OF THE PROPRIET.

### GENERAL INFORMATION

- WHENEVER YOU ARE INDEBTED TO PERSHING I.C. ("PERSHING") FOR ANY AMOUNT, ALL SECURITIES HELD BY IT FOR YOU IN ANY ACCOUNT IN WHICH YOU HAVE ANY IN THESET SHALL SECURE ALL YOUR LIABLITIES TO PERSHING, AND PERSHING MAY IN ITS DISCRETION AT ANY TIME, WITHOUT TENDER, DEMAND OR NOTICE TO YOU, CLOSE OR REDUCE ANY OR ALL OF YOUR ACCOUNTS BY PUBLIC OR PRIVATE SALE OR PURCHASE OR BOTH OF ALL OR ANY SECURITIES CARRIED IN SUCH ACCOUNTS; ANY BALANCE REMAINING DUE PERSHING TO BE PROMPTLY PAID BY YOU.
- WHENEVER YOU ARE INDEBTED TO PERSHING FOR ANY AMOUNT, ALL SECURITIES CARRIED FOR YOUR ACCOUNT ARE OR MAY BE, WITHOUT FURTHER NOTICE TO YOU, LOANED OR PLEDGED BY PERSHING, BITHER SEPARATELY OR UNDER CIRCUMSTANCES WHICH WILL DERMIT THE COMMINICUM THEREOF, WITH OTHER SECURITIES FOR ANY AMOUNT LESS THAN, EQUAL TO OR GREATER THAN YOUR LIABILITIES TO PERSHING, BUT NOT UNDER CIRCUMSTANCES FOR AN AMOUNT PROHIBITED BY LAW.
- PERSHING MAY TRADE FOR ITS OWN ACCOUNT AS A MARKET MAKER, SPECIALIST, ODD LOT DEALER, BLOCK POSITIONER, ARBITRAGELIN OR INVESTOR, CONSECUENTLY, IA IT HE TIME OF ANY TRADSACTION YOU MAY MAKE, PERSHING MAY HAVE A POSITION IN SUCH SECURITIES, WHICH POSITION MAY BE PARTIALLY OR COMPLETELY
- IF AVERAGE PRICE TRANSACTION IS INDICATED ON THE FRONT OF THIS STATEMENT YOUR FINANCIAL INSTITUTION OR PERSHING MAY HAVE ACTED AS PRINCIPAL, AGENT OR BOTH, DETAILS AVAILABLE UPON REQUEST.
- A FINANCIAL STATEMENT OF PERSHING IS AVAILABLE FOR YOUR PERSONAL INSPECTION AT PERSHING'S OFFICES. A COPY OF IT WILL BE MAILED UPON YOUR WRITTEN REQUEST OR YOU CAN VIEW IT ONLINE AT WWW.PERSHING.COM.
- FOR BUSINESS CONTINUITY AND ADDITIONAL DISCLOSURES: WWW.PERSHING.COM/DISCLOSURES
- THIS STATEMENT SHOULD BE RETAINED FOR YOUR RECORDS

PAYMENT FOR ORDER FLOW AND ORDER ROUTING POLICIES DISCLOSURES [REGULATION NMS—RULE 807(A)(1)-(2)]

PERSHING SENDS CERTAN EQUITY ORDERS TO EXCHANGES, ELECTRONIC COMMUNICATION NETWORKS, OR BROKER. DEALERS DURING NORMAL BUSINESS HOURS AND DURING EXTRIBUSED TRADING SESSIONS CERTAIN OF THESE VENUES PROVIDE PAYMENTS TO PERSHING OR CHARGE ACCESS FEES TO PERSHING DEPENDING UPON THE CHARACTERISTICS OF THE ORDER, AND ARY SUBSEQUENT EXECUTION. THE DETAILS OF THESE PAYMENTS AND FEES ARE AVAILABLE UPON WRITTEN REQUEST. PERSHING RECEIVES PAYMENTS FOR DIRECTION LISTED OPTIONS ORDER FLOW TO CERTAIN OPTION EXCHANGES. IN ADDITION, PERSHING ROUTES CERTAIN EQUITY AND OPTION ORDERS TO ITS AFFLIATE, BNY MELLON CAPTRAL MAKKETS, LLC, FOR EXECUTION AS PRINCIPAL. COMPENSATION IS GENERALLY IN THE FORM OF A PER OPTION CONTRACT CASH PAYMENT.

BEST EXECUTION: NOTWITHSTANDING THE PREVIOUS PARAGRAPH REGARDING PAYMENT FOR ORDER FLOW, PERSHING SELECTS CERTAIN MARKET CENTERS TO PROVIDE EXECUTION OF OVER-THE-COUNTER AND EXCHANGE-LISTED SECURITIES THANKACTIONS WHICH AGREE TO ACCEPT ORDERS, TRANSINITID ELECTRONICALLY UP TO A SECIFIED SEZE, AND TO EXECUTE THEM AT OR BETTER THAN THE NATIONAL BEST BID OR OFFER (WBBD), ON CERTAIN LARGER ORDERS, OR # THE DESIGNATED MARKET CENTERS ON ON MAKE A MARKET IN THE SUBJECT SECURITY, PERSHING DRECTLY CONTACTS MARKET CENTERS TO OBTAIN AN EXECUTION. THE DESIGNATED MARKET CENTERS TO WHICH ORDERS ARE AUTOMATICALLY ROUTED ARE SELECTED BASED ON THE CONSISTENT HIGH QUALITY OF THEM EXECUTIONS AND RECONSISTENT HIGH QUALITY OF THEM EXECUTIONS TO THE ORDERS SUPERIOR TO THE NBBO, PERSHING ALSO REGULARLY REVIEWS REPORTS FOR CUALITY OF EXECUTION OF EXECUTION.

# WRAP ACCOUNT CUSTOMERS WHO ELECTED NOT TO RECEIVE IMMEDIATE CONFIRMATION OF TRANSACTIONS

PURSUANT TO YOUR INSTRUCTION: THE FOLLOWING TERMS AND CONDITIONS ARE APPLICABLE ONLY IF YOUR ACCOUNT IS AN INVESTMENT ADVISORY ACCOUNT AND THE TRANSACTION CONFIRMATIONS ARE NOT SENT TO YOU (SENT ONLY TO YOUR FIDUCIARY)

### WRAP ACCOUNT TRANSACTIONS

- THE FOLLOWING MEORIMATION WILL BE FURNISHED TO YOU JPON REQUIST TO YOUR FINANCIAL INSTITUTION ("NITRODUCING FIRM") WITH RESPECT TO ANY TRANSACTION FOR WHICH A CONFIRMATION WAS NOT SENT TO YOU THE MARKET TUPON WHICH ANY TRANSACTION WAS EXECUTED; THE TIME OF DAY THAT ANY TRANSACTION WAS EXECUTED; THE INAME OF THE PERSON FROM WHOM ANY SECURITY WAS PURCHASED OR TO WHOM SUCH SECURITY WAS SOLD; THE SOURCE AND AMOUNT OF OTHER COMMISSIONS RECEIVED IN CONNECTION WITH ANY TRANSACTION; AND A COPY OF THE TRANSACTION CONFIRMATION.
- YOUR AGENT. YOUR INTRODUCING FIRM EFFECTED EACH TRANSACTION FOR WHICH A CONFIRMATION WAS NOT SENT TO YOU AS
- IF ANY TRANSACTION INVOLVES AN ASSET-BACKED SECURITY. INCLUDING A MUNICIPAL COLLATERALIZED MORTGAGE OBLIGATION, WHICH REPRESENTS AM INTEREST IN OR IS SECURED BY A POOL OF RECEIVABLES OR OTHER FINANCIA, ASSETS THAT ARE SUBJECT CONTINUOUSLY TO PREPAYMENT. THEN THE ACTUAL YIELD OF SUCH SECURITY MAY VARY ACCORDING TO THE RATE AT WHICH THE WHICH THE WORDER SOR OTHER FINANCIAL ASSETS ARE PREPAID. INFORMATION CONCERNING THE FACTORS THAT AFFECT YIELD (INCLUDING AT A MINIMUM ESTIMATED TELD, WEIGHTED AYERAGE LIFE, AND THE PREPAYMENT ASSUMPTIONS OF UNDERLYING YIELD) WILL BE FURNISHED TO YOU UPON REQUEST TO YOUR INTRODUCING FIRM

**WRAP ACCOUNT ORDER FLOW:** YOUR INTRODUCING FIRM DOES NOT RECEIVE ANY PAYMENT FOR ORDER FLOW FOR ANY TRANSACTION FOR WHICH A CONFIRMATION WAS NOT SENT TO YOU.

WRAP ACCOUNT CALL FEATURES: CALL FEATURES MAY EXIST FOR SECURITIES. CALL FEATURES FOR FIXED INCOME SECURITIES WAY AFFECT YIELD. COMPLETE INFORMATION WILL BE PROVIDED UPON REQUEST.

WRAP ACCOUNT RATINAS: THE RATINGS THAT APPEAR IN THE DESCRIPTION OF SOME FRED INCOME SECURITIES HAVE BEEN OBTAINED FROM RATINGS SERVICES WHICH PERSHING BELIEVES TO BE RELABLE, HOWEVER, PERSHING CANNOT GUARANTEE THEIR ACCURACY. SECURITIES FOR WHICH A RATING IS NOT AVAILABLE ARE MARKED "UNRATED"

IF ANY OF THE ABOVE TERMS AND CONDITIONS ARE UNACCEPTABLE TO YOU, PLEASE NOTIFY PERSHING IMMEDIATELY IN WRITING BY CERTIFIED MAIL TO ONE PERSHING PLAZA JERSEY CITY, NJ 07399, ATTIX LEGAL DEPT



### Attachment 5



CHARLES J FLEISCHMANN BRENDA M FLEISCHMANN JT TEN 8714 RAMBLING ROSE DR OOLTEWAH TN 37363-7118

Your Financial Advisor Is: WARD PETTY (423) 668-5411

> Account Number: EPP-011695 December 1, 2018 - December 31, 2018

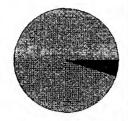
	Estimated Annual Income	ā		Fees	Dividends, Interest and Other Income	BEGINNING ACCOUNT VALUE \$23	
	\$6,548.15	\$228,361,97	-15,458.42	0.00	8,191.90	\$235,628.49	This Period
-		\$228,361.97	-22,996.18	4,867.49	12,957.44	\$243,268.20	Year-to-Date

beginning account value after activity. Net Change in Portfolio is the difference between the ending account value and

The Bank Deposits in your account are FDIC insured bank deposits.

FDIC insured bank deposits are not securities and are not covered by the Securities Investor Protection Corporation (SIPC). These bank deposits are covered by the Federal Deposit Insurance Corporation (FDIC), up to allowable limits.

### Asset Summary



	Percent	Asset Type	Prior Year-End	Last Period	This Period
. 7	5%	Cash, Money Funds, and Bank Deposits	6,626.31	4,024.36	10,365.28
6218	95%	Mutual Funds	236,641.89	231,604.13	217,996.69
1	100%	Account Total (Pie Chart)	\$243,268.20	\$235,628.49	\$228,361.97
		Please review your allocation periodically with your Financial Advisor.			

Page 1 of 13

ought and Sold	Description
-\$1,850.98	This Period
-\$4,350.98	Year-to-Date

## Summary of Gains and Losses

Net Gain/Loss	Long-Term Gain / Loss	Short-Term Gain/Loss	
0.00	0.00	0.00	Realized This Period F
0.00	0.00	0.00	Realized Year-to-Date
4,599.46	4,324.77	-274.69	Unrealized

This summary excludes transactions where cost basis information is not available

### For Your Information

Electronic Delivery of Tax Documents

Electronic delivery of Tax Documents

Electronic delivery of account communications can make managing your financial information easier-and tax documents are no exception. With anywhere, anytime access and the ability to download, then e-mail tax documents to your accountant, e-delivery is the convenient way to approach tax season! Enroll today- and if you're enrolled for account statements, GO PAPERLESS!! but not tax documents, simply click the "Go Paperless" icon when you log in.

If you currently have online access to your accounts through NetXInvestor, you can sign up for e-delivery of your statements and confirms, as well as Mutual Fund, ETF and UIT

This convenient e-delivery service is available even it you don't desire access to daily positions, values, balances and quotes. Contact your financial advisor and we can set up e-delivery

prospectus, by clicking on the Go Paperless button when you log in. If you do not have on-line access, please contact your financial advisor and the process can be expedited for you.

Make the move to paperless today!

## Client Service Information

1101 BROAD STREET, SUITE 105 CHATTANOOGA TN 37402-2943	WARD PETTY	
Fax Number: (423) 668-5412	Contact Information  WARD PETTY  Telephone Milmber (423) 668-5411	

## Your Account Information

INVESTMENT OBJECTIVE

Investment Objective: CONSERVATIVE INCOME

Please review your investment objective. If you wish to make a change or have any questions please contact your Financial Advisor.



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## Your Account Information (continued)

TAX LOT DEFAULT DISPOSITION METHOD

Default Method for Mutual Funds:

First In First Out First In First Out

Default Method for all Other Securities: Default Method for Stocks in a Dividend Reinvestment Plan:

BOND AMORTIZATION ELECTIONS

Accrual market discount method for all other bond types: Amortize premium on taxable bonds based on Constant Yield Method: First In First Out

Yes Constant Yield Method

**ELECTRONIC DELIVERY** 

Include market discount in income annually

You have not selected any account communications for electronic delivery. To register and turn off paper communications, log in to your account or contact your Financial Advisor for more information

## FDIC Insured Bank Deposits

		**************************************
Sweep FDIC Insured Bank Deposits		
INSURED DEPOSIT PROGRAM F		
Activity Ending: 12/31/18		
12/01/18 Opening Balance		4,024.36
12/04/18 Deposit	DEPOSIT	198.31
12/05/18 Deposit	DEPOSIT	72.32
	DEPOSIT	1,216.03
	INTEREST CREDITED	4.15
	APY 1.15%	
12/17/18	Citibank N.A.	
	A/O 12/17 \$5515.17	
12/19/18 Deposit	DEPOSIT	212.90
	DEPOSIT	1,994.05
	DEPOSIT	1,469.06
	DEPOSIT	1,150,97
12/31/18 Closing Balance		

The FDIC Insured Bank Deposits are not securities and are not covered by the Securities Investor Protection Corporation (SIPC). The Bank Deposits at each bank are insured by the Federal Deposit Insurance Corporation (FDIC) up to \$250,000 for each category of legal ownership including individual retirement accounts and certain other self directed retirement accounts. Please review this in connection with other deposits you may have at each respective bank

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Opening Date Quantity	Account Number	Activity Ending	Opening Balance	Closing Belance	Accrued Income	Income This Year	30-Day Yield	Current Yield
CASH, MONEY FUNDS, AND BANK DEPOSITS 5.00% of Portfolio Cash Balance	DEPOSITS 5.00%	of Portfolio	0.00	23.13				
FDIC Insured Bank Deposits								
INSURED DEPOSIT PROGRAM F 12/01/18 10,342.150	N/A	12/31/18	4,024.36	10,342.15	3.79	4.15	N/A	N/A
BANK INS DEPOSITE	N/A	12/31/18	0.00	0.00	0.00	31.03	N/A	
Total FDIC Insured Bank Deposits			\$4,024.36	\$10,342.15	\$3.79	\$35.18		
TOTAL CASH, MONEY FUNDS, AND BANK DEPOSITS	BANK DEPOSITS	***************************************	\$4,024.36	\$10,365.28	\$3.79	\$35.18	***************************************	
Date Acquired Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss		Estimated Estimated Annual Income Yield	Estimated Yield
FUNDS 95.00% of	0							
BLACKROCK MULTI-ASSET INCOME PORTFOLIO FD CL A Open End Fund		Securit:	Security Identifier: BAICX CUSIP: 09256H351					
Dividend Option: Cash; Capital Gains Option: Cash Multiple Y 1,834.630	10.9900	20,162.84	10.1300	18,584.80	-1.578.04		966,66	5.20%
DODGE & COX GLOBAL STOCK FUND Open End Fund Dividend Option: Costs Continue Costs		Security I C	Security Identifier: DODWX CUSIP: 256206202					
Dividend Option: Cash; Capital Gains Option; Cash Multiple Y 1,361.498	11.9740	16,302.41	11.0300	15,017.32	-1,285.09		345.82	2.30%
FIDELITY FLOATING RATE HIGH INCOME FUND		Security	Security Identifier: FFRHX CUSIP: 315916783					
Open End Fund Dividend Option: Cash; Capital Gains Option: Cash 05/10/16 1,927,195	9.3400	18,000.00	9.2000	17,730.19	-269.81		760.71	4.29%
FIRST EAGLE GLOBAL FUND CLASS I Open End Fund		Securi C	Security Identifier: SGIIX CUSIP: 32008F606					
Dividend Option: Cash; Capital Gains Option: Cash Multiple Y 302.948	53.3380	16,158.63	51.1000	15,480.64	-677.99		182.07	1.17%

Account Number: EPP-011695









T ROWE PRICE BALANCED  Open End Fund  Dividend Option: Cash; Capital Gains Option: Reinvest  Multiple Y  1,508.158	PIMCO INCOME FUND CLASS A Open End Fund Dividend Option: Cash; Capital Gains Option: Cash Multiple Y 1,713.333	Open End Fund Dividend Option: Cash; Capital Gains Option: Cash Multiple Y 1.265.223	LOOMIS SAYLES GLOBAL ALLOCATION FUND CLASS A	Dividend Option: Cash, Capital Gains Option: Cash 05/10/16 1,533.220	HARBOR BOND FUND INSTITUTIONAL CLASS Open End Fund	Dividend Option: Cash; Capital Gains Option: Cash Multiple Y 1,634,304	MUTUAL FUNDS (continued) FIRST EAGLE GLOBAL INCOME BUILDER FUND CLASS A Chear End Fund	Date Acquired Quantity
22.1470	12.3570	17.6990		11.7400		10.8340		Unit Cost
Security C 33,401.29	Security C 21,171.20	22.393.29	Security I CI	18,000.00	Security	17,706.49	Security Ct	Cost Basis
Security Identifier: RPBAX CUSIP: 77954G108 21.3900	Security Identifier PONAX CUSIP: 7220IF474 20 11.8100	20.0100	Security Identifier: LGMAX CUSIP: 46602Q107	11.1300	Security Identifier: HABDX CUSIP: 415:1108	11.0900	Security Identifier: FEBAX CUSIP: 32008F697	Market Price
32,259.50	20,234.46	25,317.11		17,064.74		18,124.43		Market Value
.1,141.79	.936.74	2,923.82		-935.26		417.94		Uhraalized Gain/Loss
754.07 2.33%	1,058.12 5.22%	204.33 0.80%		525.86 3.08%		454.33 2.50%		Estimated Estimated Annual Income Yield

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\$6,548.15	\$0.00	-\$4,599.46	\$228,361.97		\$232,961.43		TOTAL PORTFOLIO HOLDINGS	TOTAL P
Estimated Annual Income	Accrued Interest	1	Market Value		Cost Basis	· · · da ad distributions	e e e e e e e e e e e estadade estadados de estados de estados estados estados estados estados estados estados	
\$6,512.97		-\$4,599.46	\$217,996.69		\$222,596.15		TOTAL MUTUAL FUNDS	TOTAL
1,261.00 3.30%	ANAMANA WATER WATE	-1,116.50	38,183.50	24,4300	39,300.00	25.1440	Total Covered 1,562.976	Multiple Y
							Dividend Option: Cash; Capital Gains Option: Cash	Dividend Op
							und	Open End Fund
				CUSIP: 921938106			SHARES	INVESTOR SHARES
				Security Identifier: VWINX	Security		VANGUARD WELLESLEY INCOME FUND	VANGUARD
							MUTUAL FUNDS (continued)	MUTUAI
Annual Income Yield	,	Gain/Loss Annual Income	Market Value	Market Price	Cost Basis	Unit Cost	ed Quantity	Date Acquired
Estimated Estimated		Unrealized						

subject to the cost basis reporting rules and may be reported to the IRS on form 1099-B for the applicable tax year in which the securities are disposed Generally, securities acquired before 2011, in retirement accounts or held by Non-U.S. entities are not subject to the cost basis reporting rules set forth in the Internal Revenue Code of 1986, as amended by the Emergency Economic Stabilization Act of 2008, and are marked as "noncovered". Securities marked as "covered", were identified as securities potentially

Note: In the event where we cannot easily determine the taxability of an account, we may mark the account as noncovered. However, if the account does not receive a 1099B, the cost basis will not be reported to the IRS

## Portfolio Holdings Disclosures

This section includes the net market value of the securities in your account on a settlement date basis, including short positions, at the close of the statement period. The market prices, unless otherwise noted, have been obtained from independent vendor services, which we believe to be reliable. Market prices do not constitute a bid or an offer, and may differ from the actual sale price. Securities for which a price is not available are marked "N/A" and are omitted from the Total. THE AS OF PRICE DATE ONLY APPEARS WHEN THE PRICE DATE DOES NOT EQUAL THE STATEMENT DATE.

### Estimated Annual Figures

and dividend rates are subject to change at any time, and may be affected by current and future economic, political, and business conditions, they should not be relied on for making The estimated annual income (EAI) and estimated annual yield (EAY) figures are estimates and for informational purposes only. These figures are not considered to be a forecast or guarantee of future results. These figures are computed using information from providers believed to be reliable; however, no assurance can be made as to the accuracy. Since interest may be included in the figures for certain securities, thereby overstating them. Refer to www.pershing.com/disclosures for specific details as to formulas used to calculate the figures Accrued interest represents interest earned but not yet received. investment, trading, or tax decisions. These figures assume that the position quantities, interest and dividend rates, and prices remain constant. A capital gain or return of principal

The dollar amount of Mutual Fund distributions, Money Market Fund dividend income, Bank Deposit interest income, or dividends for other securities shown on your statement may



This line is an aggregation of shares in this position, representing shares acquired at different times and / or dates. This summary is a sum of these shares and does not represent cost basis calculated using the average cost accounting method

Reinvestment (continued) Portfolio Holdings Disclosures (continued)

Foreign Currency Transactions financial situation. Expiring options which are valuable are exercised automatically pursuant to the exercise by exception procedure of the Options Clearing Corporation. Additional Current background and financial information concerning your option accounts, please promptly advise them in writing of any material change in your investment objectives or lo you. A summary of this information is available to you promptly upon your mitten request directed to your introducing firm. In order to assist your introducing firm in antincing firm in an analysis form in university firm in a same material channel in formation in the firm in th Information with respect to commissions and other charges incurred in connection with the execution of option transactions has been included in confirmations previously furnished Including the time of execution and the name of the person from whom your security was purchased, may be obtained. In dividend reinvestment transactions, Pershing acts as your have been reinvested. You will not receive confirmation of these reinvestments. Upon written request to your financial institution, information pertaining to these transactions.

Securities not fully paid for in your margin account may be lent by Pershing to itself or others in accordance with the terms outlined in the Margin Agreement. The right to vote your man the bear a constant of charge on than the process of the first of the man and the fight to vote your the process of the fight to t Corporate actions unless you instruct your financial organization of the currence of the prior business day. Increase the currency conversion rate or the prior business day. Increase the currency conversion rate. This conversion rate may differ from rates in effect on the currency conversion rate. This conversion rate may differ from rates in effect on the date you executed a transaction. Incurred a charge, or financial in the million of the currency conversion rate may differ from rates in effect on the date you executed a transaction. Incurred a charge, or financial. Pershing will execute foreign currency transactions as principal for your account. Pershing may automatically convert foreign currency to ar from U.S. dollars for dividends and similar.

Important Message Regarding Your Portfolio Holdings

shares held on margin may be reduced by the amount of shares on loan. The Proxy Voling Instruction Form sent to you may reflect a smaller number of shares entitled to vote than

While your tax lots have been rolled up, all of the lots are still maintained. If you would like to receive the details of your tax lots, please contact your financial advisor. expect that the fair market value for hard-to value assets reflects the amount you would actually receive in the event of a sale. because there are multiple ways that "value" may be ascertained by issuers and valuation services, and because the value shown is only a point-in-time assessment, you should not Positions identified on your statements as "hard-to-value" may show a "fair market value" amount for IRS purposes. Because hard-to-value assets are not readily tradeable, and

Account Number: EPP-01 (695 600155/0CSF3002

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# Activity Summary (All amounts shown are in base currency)

The state of the s	The state of the s					
	Credits This Period	Debits This Period	Net This Period	Credits Year-to-Date	Debits Year∙to-Date	Net Year-to-Date
Securities						
Securities Bought	0.00	-1,850.98	-1,850.98	0.00	-4,350.98	4,350.98
Total Securities	\$0,00	-\$1,850.98	-\$1,850.98	\$0.00	-\$4,350.98	-\$4,350.98
Dividends and Interest	\$1,795.43	\$0.00	\$1,795.43	\$6,560.97	\$0.00	\$6,560.97
Distributions	\$6,396.47	\$0.00	\$6,396.47	\$6,396.47	\$0.00	\$6,396.47
Fees	\$0,00	\$0.00	\$0.00	\$0.00	-\$4,867.49	-\$4,867.49
FDIC Insured Bank Deposits	\$0.00	-\$6,317.79	-\$6,317.79	\$11,184.93	-\$14,931.61	-\$3,746.68
Totals	\$8,191.90	-\$8,168.77	\$23.13	\$24,142.37	-\$24,150.08	-\$7.71

## Transactions in Date Sequence

12/13/18	12/13/18	12/13/18	12/13/18	12/05/18	12/04/18	12/04/18	12/03/18	12/03/18	12/03/18	Process/ Settlement Date
										Process/ Trade/ Settlement Transaction Date Date
SGIIX LONG TERM CAPITAL GAIN DISTRIBUTION RPBAX	SHORT TERM CAPITAL GAIN DISTRIBUTION	SGIIX CASH DIVIDEND RECEIVED SGIIX	LONG TERM CAPITAL GAIN DISTRIBUTION	FDIC INSURED BANK DEPOSIT	CASH DIVIDEND RECEIVED FFRHX	FDIC INSURED BANK DEPOSIT	CASH DIVIDEND RECEIVED PONAX	CASH DIVIDEND RECEIVED FEBAX	CASH DIVIDEND RECEIVED BAICX	Activity Type
T ROWE PRICE BALANCED 1423.8310 SHRS RD 12/11 PD 12/13/18	FIRST EAGLE GLOBAL FUND CLASS I 302,9480 SHRS RD 12/11 PD 12/13/18	FIRST EAGLE GLOBAL FUND CLASS I 302.9480 SHRS RD 12/11 PD 12/13/18	FIRST EAGLE GLOBAL FUND CLASS I 302,9480 SHRS RD 12/11 PD 12/13/18	INSURED DEPOSIT PROGRAM F	FIDELITY FLOATING RATE HIGH INCOME FUND FOR ACCRUAL PERIOD ENDING 11/30/18	INSURED DEPOSIT PROGRAM F	PIMCO INCOME FUND CLASS A FOR ACCRUAL PERIOD ENDING 11/30/18	FIRST EAGLE GLOBAL INCOME BUILDER FUND CLASS A FOR ACCRUAL PERIOD ENDING 11/30/18	BLACKROCK MULTI-ASSET INCOME PORTFOLIO FD CLA FOR ACCRUAL PERIOD ENDING 11/30/18	Description
										Quantity
										Price
										Accrued interest
1,822.50	15.75	182.07	833.11	-72.32	72.32	-198.31	88.32	28.73	81.26	Amount
USD	USD	USD	OSD	USD	OSD	USD	USD	USD	USD	Amount Currency







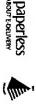


# Transactions in Date Sequence (continued)

12/21/18	12/20/18	12/19/18	12/19/18	12/19/18	12/18/18	12/17/10		12/14/18	12/13/18	12/13/18	12/13/18	12/13/18	Process/ Settlement Date
						12/1//10 12/14/10		12/14/18 12/17/18 12/14/18					Trade/ Transaction Date
DISTRIBUTION DISTRIBUTION DODWX	FDIC INSURED BANK DEPOSIT	CASH DIVIDEND RECEIVED VWINX	LONG TERM CAPITAL GAIN DISTRIBUTION VWINX	FDIC INSURED BANK DEPOSIT USD999997	CASH DIVIDEND RECEIVED HABDX	DEPOSITS INTEREST RECEIVED PER987762	DEPOSITS INTEREST REINVESTED PER987762	FDIC INSURED BANK DEPOSIT USD999997 FDIC INSURED BANK	REINVEST CASH INCOME RPBAX	REINVEST CASH INCOME RPBAX	SHORT TERM CAPITAL GAIN DISTRIBUTION RPBAX	CASH DIVIDEND RECEIVED RPBAX	Activity Type
DODGE & COX GLOBAL STOCK FUND 1361.4980 SHRS RD 12/18 PD 12/20/18	INSURED DEPOSIT PROGRAM F	VANGUARD WELLESLEY INCOME FUND INVESTOR SHARES 1562.9760 SHRS RD 12/17 PD 12/19/18	VANGUARD WELLESLEY INCOME FUND INVESTOR SHARES 1562.9760 SHRS RD 12/17 PD 12/19/18	INSURED DEPOSIT PROGRAM F	HARBOR BOND FUND INSTITUTIONAL CLASS 1533.2200 SHRS RD 12/14 PD 12/17/18	INSURED DEPOSIT INTEREST CREDITED		INSURED DEPOSIT PROGRAM F	T ROWE PRICE BALANCED (423) 83(0) SHRS SHRS PURCH. AT \$21,95000 RD (2/1) PD (2/13/18	T ROWE PRICE BALANCED (423,83)0 SHRS SHRS PURCH. AT \$21,95000 RD (2/1) PD (2/13/18	T ROWE PRICE BALANCED 1423.83(0 SHRS RD 12/11 PD 12/13/18	T ROWE PRICE BALANCED (423,8310 SHRS RD (2/1) PD (2/13/18	Description
									83.030	1.297			Quantity
													Price
													Accrued Interest
1,097.37	-1,994.05	367.30	1,626.75	-212.90	212.90	. <u>+</u> O		-1,216.03 -4 15	-1,822.50	-28.48	28.48	185.10	Amount
USD	USD	OSD	USD	USD	USD	S			USD	USD	USD	185.10 USD	Currency

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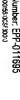
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EXCELLENCE

# Transactions in Date Sequence (continued)

The price and qu	Total Value of Transactions		12/31/18	12/26/18		12/24/18		12/24/18			12/24/18		12/24/18			12/21/18		12/21/18	Date Date	Process/ Trade/ Settlement Transaction
The price and quantity displayed may have been rounded.	Transactions	FFRHX	CASH DIVIDEND RECEIVED	FDIC INSURED BANK DEPOSIT	DISTRIBUTION	SHORT TERM CAPITAL GAIN	LGMAX	CASH DIVIDEND RECEIVED	LGMAX	DISTRIBUTION	LONG TERM CAPITAL GAIN	USD99997	FDIC INSURED BANK DEPOSIT	DODWX	DISTRIBUTION	SHORT TERM CAPITAL GAIN	DODWX	CASH DIVIDEND RECEIVED	Activity Type	On
ounded.		SHRS RD 12/27 PD 12/28/18	FIDELITY FLOATING RATE HIGH INCOME FUND 1927.1950	INSURED DEPOSIT PROGRAM F	1265.2230 SHRS RD 12/20 PD 12/24/18	LOOMIS SAYLES GLOBAL ALLOCATION FUND CLASS A	12652230 SHRS RD 12/20 PD 12/24/18	LOOMIS SAYLES GLOBAL ALLOCATION FUND CLASS A		1265.2230 SHRS RD 12/20 PD 12/24/18	LOOMIS SAYLES GLOBAL ALLOCATION FUND CLASS A		INSURED DEPOSIT PROGRAM F		12/18 PD 12/20/18	DODGE & COX GLOBAL STOCK FUND 1361,4980 SHRS RD	12/18 PD 12/20/18	DODGE & COX GLOBAL STOCK FUND 1361.4980 SHRS RD	Description	
																			Quantity	
		:																	Price	
	\$0.00																		Accrued Interest	
	\$23 13		23.13	-1,150.97		7.34		204.33			939,30		-1,469.06			25.87		345.82	Amount	
	USD		USD	USD		OSU		USD			OSD		USD			OSU		OSU	Amount Currency	

## Income and Expense Summary

Total Distributions	Short - Term Capital Gain Distributions	Distributions Long - Term Capital Gain Distributions	Total Dividends, Interest, Income and Expenses	Interest Income FDIC Insured Bank Deposits		
\$6,396.47	77.44	6,319.03	\$1,7	4.15	1,791.28	Taxable
\$0.00	0.00	0.00	\$0.00	0.00	0.00	able
\$6,396.47	77.44	6,319.03	\$6,560.97	35.18	6.525.79	Year-to-Date
\$0.00	0.00	0.00	\$0.00	0.00	0.00	ate Non Taxable











Please note the following information for Pershing's 2018 IRS Form 1099 (B, DIV, INT, MISC and OID): Your Form 1099 will be delivered as early as possible, beginning January 31. reviewed and finalized. The notice will inform you of the securities that are pending final reporting and provides the anticipated mail date of your 1099. Your 1099 will be mailed no information from issuers and trustees of securities that you hold by the as of date of the February 15 1099 mailing. You will also be sent the notice if your information is still being 2019. By February 15, you will be mailed either your Form 1099 or a special Pending 1099 Notice. The Pending 1099 Notice will be sent if we have not received and processed final

Rule 10b-10(b)(1) confirmations are not sent for purchases into money market mutual funds processed on the sweep platform. account. Please see the money market mutual fund's prospectus or the bank deposit product's disclosure document or contact your advisor for additional information. Pursuant to SEC of a money market mutual fund or the balance of a bank deposit product held in your brokerage account may be liquidated upon request with the proceeds credited to your brokerage Although a money market mutual fund seeks to preserve the value of your investment at \$1 per share, it is possible to lose money by investing in a money market mutual fund. Shares

MAY VIEW CURRENT MONEY MARKET FUND RATES BY VISITING WWW.PERSHING.COM AND SELECTING THE LINK AT THE BOTTOM OF THE PAGE TITLED "MONEY FEDERAL DEPOSIT INSURANCE CORPORATION (FDIC)-INSURED BANK DEPOSITS ARE NOT PROTECTED BY SECURITIES INVESTOR PROTECTION CORPORATION (SIPC). YOU MARKET MUTUAL FUND & FDIC-INSURED DEPOSITS PROGRAM RATES & BANK LISTS". PLEASE NOTE THAT WE MAY NOT OFFER ALL OF THE MONEY MARKET FUNDS LISTED ON THE PERSHING WEBSITE

## Important Information and Disclosures

- suitability of any transaction or order. Pershing acts as the agent of your financial institution and you agree that you will not hold Pershing or any person controlling or under Pershing carries your account as clearing broker pursuant to a clearing agreement with your financial institution. Pershing may accept from your financial institution without liable for any acts or omissions of your financial institution or its employees and it does not supervise them. Pershing provides no investment advice nor does it assess the common control with it liable for any investment losses incurred by you. inquiry or investigation (i) orders for the purchase and sale of securities and other property and (ii) any other instructions concerning your account. Pershing is not responsible or
- Pershing performs several key functions at the direction of your financial institution. It acts as custodian for funds and securities you may deposit with it directly or through your financial institution or that it receives as the result of securities transactions it processes.
- account, its sales representatives and other personnel. Your financial institution is also responsible for approving the opening of accounts and obtaining account documents, the acceptance and, in certain instances, execution of securities orders; the assessment of the suitability of those transactions, where applicable; the rendering of investment advice. Your financial institution is responsible for adherence to the securities laws, regulations and rules which apply to it regarding its own operations and the supervision of your if any, to you and in general, for the ongoing relationship that it has with you.
- Inquiries concerning the positions and balances in your account may be directed to the Pershing Customer Service Department at (201) 413-3333. All other inquiries regarding your account or activity should be directed to your financial institution. Your financial organization's contact information can be found on the first page of this statement
- a definitive enumeration of every possible circumstance, but as a general disclosure. If you have any questions regarding this notice or if you would like additional copies of the For a description of other functions performed by Pershing please consult the Disclosure Statement provided to you upon the opening of your account. This notice is not meant as Disclosure Statement, please contact your financial institution.
- protection, Pershing provides coverage in excess of SIPC limits. For more detailed information please visit: www.pershing.com/about/strength-and-stability Pershing is a member of the Securities investor Protection Corporation (SIPC®). Please note that SIPC does not protect against loss due to market fluctuation. In addition to SIPC
- receipt of this statement, to your financial organization and Pershing. Please be advised that any oral communication should be re-confirmed in writing to further protect your rights, including your rights under the Securities Investor Protection Act. This statement will be deemed conclusive. You are advised to report any inaccuracy or discrepancy (including unauthorized trading) promptly, but no later than ten days after
- Your financial organization's contact information can be found on the first page of this statement. Pershing's contact information is as follows: Pershing LLC, Legal Department,







# Important Information and Disclosures (continued)

The Role of Pershing (continued)

One Pershing Plaza, Jersey City, New Jersey 07399; (201) 413-3330. Errors and Omissions excepted

## Important Arbitration Disclosures

- All parties to this agreement are giving up the right to sue each other in court, including the right to a trial by jury, except as provided by the rules of the arbitration forum in which a claim is filed
- Arbitration awards are generally final and binding; a party's ability to have a court reverse or modify an arbitration award is very limited.
- The ability of the parties to obtain documents, witness statements and other discovery is generally more limited in arbitration than in court proceedings.
- panel at least 20 days prior to the first scheduled hearing date. The arbitrators do not have to explain the reason(s) for their award, unless, in an eligible case, a joint request for an explained decision has been submitted by all parties to the
- The panel of arbitrators will typically include a minority of arbitrators who were or are affiliated with the securities industry.
- The rules of some arbitration forums may impose time limits for bringing a claim in arbitration. In some cases, a claim that is ineligible for arbitration may be brought in court
- The rules of the arbitration forum in which the claim is filed, and any amendments thereto, shall be incorporated into this agreement.

## Important Arbitration Agreement

class who has not opted out of the class with respect to any claims encompassed by the putative class action until, (1) the class certification is denied, (11) the class is decertified or action to arbitration, nor seek to enforce any predispute arbitration agreement against any person who has initiated in court a putative class action, who is a member of a putative Any controversy between you and Pershing LLC shall be submitted to arbitration before the Financial Industry Regulatory Authority. No person shall bring a putative or certified class the extent stated herein. The laws of the State of New York govern. (III) the client is excluded from the class by the court. Such forbearance to enforce an agreement to arbitrate shall not constitute a waiver of any rights under this agreement except to

Pershing's contact information is as follows: Pershing LLC, Legal Department, One Pershing Plaza, Jersey City, New Jersey 07399; (201) 413-3330





(1111)

### TERMS AND CONDITIONS

### TRANSACTIONS

- SUBJECT TO THE CONSTITUTION, RULES, REGULATIONS, CUSTOMS, USAGES, RULINGS AND INTERPRETATIONS OF THE EXCHANGE OR MARKET AND THE CLEARING FACILITY, IF ANY, WHERE THE TRANSACTIONS ARE EXECUTED AND/OR SETTLED, OR IF APPLICABLE, OF THE FINANCIAL INDUSTRY REGULATORY AUTHORITY AND TO ALL APPLICABLE LAWS AND REGULATIONS. ALL ORDERS AND TRANSACTIONS SHALL BE SOLELY FOR YOUR ACCOUNT AND RISK SHALL BE
- TITLE TO SECURITIES SOLD TO YOU, WHERE PERSHING HAS ACTED AS PRINCIPAL, SHALL REMAIN DATE, WHICHEVER IS LATER. WITH PERSHING UNTIL THE ENTIRE PURCHASE PRICE IS RECEIVED OR UNTIL THE SETTLEMENT
- YOU MAY HAVE RECEIVED CONFIRMATIONS FOR TRANSACTIONS WHICH DO NOT APPEAR ON YOUR STATEMENT. IF SO, THE TRANSACTIONS WILL APPEAR ON YOUR NEXT PERIODIC STATEMENT. SUCH TRANSACTIONS MUST BE CONSIDERED BY YOU WHEN COMPUTING THE VALUE OF YOUR ACCOUNT. THIS IS ESPECIALLY TRUE IF YOU HAVE WRITTEN OPTIONS WHICH HAVE BEEN EXERCISED.

FREE CREDIT BALANCES: ANY FREE CREDIT BALANCE CARRIED FOR YOUR ACCOUNT REPRESENTS FUNDS PAYABLE UPON DEMAND WHICH, ALTHOUGH PROPERLY ACCOUNTED FOR ON PERSHING'S BOOKS OF RECORD, ARE NOT SEGREGATED AND MAY BE USED IN THE CONDUCT OF ITS BUSINESS.

DEBIT BALANCES: INTEREST CHARGED ON DEBIT BALANCES IN YOUR ACCOUNT APPEARS ON THE STATEMENT. THE RATE OF INTEREST AND PERIOD COVERED ARE INDICATED, THE RATE MAY CHANGE FROM TIME TO TIME TO FLUCTUATIONS IN MONEY RATES OR OTHER REASONS, INTEREST IS COMPUTED AS DESCRIBED IN MATERIAL PREVIOUSLY FURNISHED TO YOU, PLEASE CONTACT YOUR FINANCIAL INSTITUTION IF YOU DESIRE ADDITIONAL COPIES.

MARGIN INFORMATION: IF YOU MAINTAIN A MARGIN ACCOUNT. THIS IS A COMBINED STATEMENT OF YOUR GENERAL ACCOUNT AND A SPECIAL MEMORANDUM ACCOUNT MAINTAINED FOR YOU UNDER REGULATION T OF THE BOARD OF GOVERNORS OF THE FEDERAL RESERVE SYSTEM. THE PERMANENT RECORD OF THE SEPARATE ACCOUNT AS REQUIRED BY REGULATION T IS AVAILABLE FOR YOUR INSPECTION UPON REQUEST.

### TAX INFORMATION

- AFTER YEAR END, PERSHING IS REQUIRED TO PROVIDE TAX INFORMATION TO THE INTERNAL REVIENUE SERVICE AND OTHER GOVERNMENTAL AUTHORITIES. AT THAT TIME PERSHING WILL PROVIDE THAT INFORMATION ON THE ANNUAL TAX INFORMATION STATEMENT TO YOU. USE THAT STATEMENT TO PREPARE YOUR TAX FILINGS. THE TAX STATEMENT ALSO INCLUDES OTHER USEFUL INFORMATION TO ASSIST IN ACCUMULATING THE DATA TO PREPARE YOUR TAX RETURNS.
- DIVIDENDS, INTEREST AND OTHER DISTRIBUTIONS SHOWN ON THIS STATEMENT WERE CLASSIFIED AS TAXABLE OR NONTAXABLE BASED ON CERTAIN INFORMATION KNOWN AS OF THE DISTRIBUTION DATE. THIS CLASSIFICATION IS SUBJECT TO CHANGE AND IS SOLELY INTENDED FOR USE AS GENERAL INFORMATION.
- PERSHING DOES NOT PROVIDE TAX, INVESTMENT OR LEGAL ADVISORY SERVICES AND NO ONE ASSOCIATED WITH PERSHING IS AUTHORIZED TO RENDER SUCH ADVICE, DO NOT RELY UPON ANY SUCH ADVICE, IF GIVEN. INVESTORS ARE ENCOURAGED TO CONSULT THEIR TAX ADVISORS TO DETERMINE THE APPROPRIATE TAX TREATMENT OF THEIR BUSINESS.

### GENERAL INFORMATION

- WHENEVER YOU ARE INDEBTED TO PERSHING LLC ("PERSHING") FOR ANY AMOUNT, ALL SECURITIES HELD BY IT FOR YOU IN ANY ACCOUNT IN WHICH YOU HAVE ANY INTEREST SHALL SECURE ALL YOUR LIABILITIES TO PERSHING, AND PERSHING MAY IN ITS DISCRETION AT ANY TIME, WITHOUT TENDER, DEMAND OR NOTICE TO YOU, CLOSE OR REDUCE ANY OR ALL OF YOUR ACCOUNTS BY PUBLIC OR PRIVATE SALE OR PURCHASE OR BOTH OF ALL OR ANY SECURITIES CARRIED IN SUCH ACCOUNTS: ANY BALANCE REMAINING DUE PERSHING TO BE PROMPTLY PAID BY YOU.

  WHENEVER YOU ARE INDEBTED TO PERSHING FOR ANY AMOUNT, ALL SECURITIES CARRIED FOR YOUR ACCOUNT ARE OR MAY BE, WITHOUT FURTHER NOTICE TO YOU, LOANED OR PLEDGED BY PERSHING, EITHER SEPARATELY OR UNDER CIRCUMSTANCES WHICH WILL PERMIT THE COMMINGLING THEREOF, WITH OTHER SECURITIES FOR ANY AMOUNT LESS THAN, EQUAL TO OR COMMINGLING THEREOF, WITH OTHER SECURITIES FOR ANY AMOUNT LESS THAN, EQUAL TO OR COMMINGLING THEREOF, WITH OTHER SECURITIES FOR ANY AMOUNT LESS THAN, EQUAL TO OR COMMINGLING THEREOF, WITH OTHER SECURITIES FOR ANY AMOUNT LESS THAN, EQUAL TO OR COMMINGLING THEREOF, WITH OTHER SECURITIES FOR ANY AMOUNT LESS THAN, EQUAL TO OR COMMINGLING THEREOF, WITH OTHER SECURITIES FOR ANY AMOUNT LESS THAN, EQUAL TO OR COMMINGLING THEREOF, WITH OTHER SECURITIES FOR ANY AMOUNT LESS THAN, EQUAL TO OR COMMINGLING THEREOF.
- GREATER THAN YOUR LIABILITIES TO PERSHING, BUT NOT UNDER CIRCUMSTANCES FOR AN AMOUNT

- BLOCK POSITIONER, ARBITRAGEUR OR INVESTOR, CONSEQUENTLY, AT THE TIME OF ANY TRANSACTION YOU MAY MAKE, PERSHING MAY HAVE A POSITION IN SUCH SECURITIES, WHICH POSITION MAY BE PARTIALLY OR COMPLETELY HEDGED. PERSHING MAY TRADE FOR ITS OWN ACCOUNT AS A MARKET MAKER, SPECIALIST, ODD LOT DEALER,
- FINANCIAL INSTITUTION OR PERSHING MAY HAVE ACTED AS PRINCIPAL, AGENT OR BOTH, DETAILS AVAILABLE UPON REQUEST. IF AVERAGE PRICE TRANSACTION IS INDICATED ON THE FRONT OF THIS STATEMENT YOUR
- A FINANCIAL STATEMENT OF PERSHING IS AVAILABLE FOR YOUR PERSONAL INSPECTION AT PERSHING'S OFFICES. A COPY OF IT WILL BE MAILED UPON YOUR WRITTEN REQUEST OR YOU CAN VIEW IT ONLINE AT WWW.PERSHING.COM.
- FOR BUSINESS CONTINUITY AND ADDITIONAL DISCLOSURES: WWW.PERSHING.COM/DISCLOSURES
- THIS STATEMENT SHOULD BE RETAINED FOR YOUR RECORDS.

## RULE 607(A)(1)-(2)] PAYMENT FOR ORDER FLOW AND ORDER ROUTING POLICIES DISCLOSURES [REGULATION NINS—

PERSHING SENDS CERTAIN EQUITY ORDERS TO EXCHANGES, ELECTRONIC COMMUNICATION NETWORKS, OR BROKER-DEALERS DURING NORMAL BUSINESS HOURS AND DURING EXTENDED TRADING SESSIONS, CERTAIN OF THESE VERLUES PROVIDE PAYMENTS TO PERSHING OR CHARGE ACCESS FEES TO PERSHING DEPENDING UPON THE CHARACTERISTICS OF THE ORDER AND ANY SUBSEQUENT EXECUTION. THE DETAILS OF THESE PAYMENTS AND FEES ARE AVAILABLE UPON WRITTEN REQUEST. PERSHING RECEIVES PAYMENTS FOR DIRECTING LISTED OPTIONS ORDER FLOW TO CERTAIN OPTION EXCHANGES. IN ADDITION, PERSHING ROUTES CERTAIN EQUITY AND OPTION ORDERS TO ITS AFFILIATE, BNY MELLON CAPITAL MARKETS, LLC. FOR EXECUTION AS PRINCIPAL. COMPENSATION IS GENERALLY IN THE FORM OF A PER OPTION CONTRACT CASH PAYMENT.

BEST EXECUTION: NOTWITHSTANDING THE PREVIOUS PARAGRAPH REGARDING PAYMENT FOR ORDER FLOW, PERSHING SELECTS CERTAIN MARKET CENTERS TO PROVIDE EXECUTION OF OVER-THE. COUNTER AND EXCHANGE-LISTED SECURITIES TRANSACTIONS WHICH AGREE TO ACCEPT ORDERS, TRANSMITTED ELECTRONICALLY UP TO A SPECIFIED SIZE, AND TO EXECUTE THEM AT OR BETTER THAN THE NATIONAL BEST BID OR OFFER (NBBD), ON CERTAIN LARGER ORDERS, OR IF THE DESIGNATED MARKET CENTERS DO NOT MAKE A MARKET IN THE SUBJECT SECURITY, PERSHING DIRECTLY CONTACTS MARKET CENTERS TO OBTAIN AN EXECUTION. THE DESIGNATED MARKET CENTERS TO WHICH ORDERS ARE AUTOMATICALLY ROUTED ARE SELECTED BASED ON THE CONSISTENT HIGH DESIGNATED AND THE DESIGNATED AND THE CONSISTENT HIGH. QUALITY OF THEIR EXECUTIONS IN ONE OR MORE MARKET SEGMENTS AND THEIR ABILITY TO PROVIDE OPPORTUNITIES FOR EXECUTIONS AT PRICES SUPERIOR TO THE NBBO. PERSHING ALSO REGULARLY REVIEWS REPORTS FOR QUALITY OF EXECUTION PURPOSES.

IF ANY OF THE ABOVE TERMS AND CONDITIONS ARE UNACCEPTABLE TO YOU, PLEASE NOTIFY PERSHING IMMEDIATELY BY WRITING BY CERTIFIED MAIL TO ONE PERSHING PLAZA, JERSEY CITY, NJ 07339, ATTN-LEGAL DEPT

